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## ABSTRACT

The Education and Manpower Bureau (henceforth EMB) requested that all government and aided schools have an open and fair staff appraisal system put in place by the end of the 2001-02 school year, with a view to enhancing the professional development of teachers. This research was conducted to explore the problems and issues in its implementation and to assess the perceived impacts of the scheme in terms of exactly how the attitudes and behaviours of teachers have altered under the mandatory teacher appraisal scheme. Also, as teacher appraisal is an educational practice lifted from Western societies, whose culture is significantly different from that of Hong Kong, this research attempted to explore how Chinese culture might affect the implementation and practice of teacher appraisal in Hong Kong. In this research, a total of 21 problems was identified. They can be classified into three overlapping categories, namely, problems associated with the accuracy of assessment, problems associated with personnel, and problems associated with the appraisal scheme itself. Three of the Chinese cultural dimensions; low uncertainty avoidance, possessing neither masculinity nor femininity, and high power distance, were perceived to produce a negative impact on the appraisal process. The fourth cultural dimension, collectivism, was perceived to produce a neutral impact on the appraisal process. Among the six Chinese cultural values studied, only the

concept of trust between friends was perceived to produce a positive impact on the process of appraisal. The concept of maintaining harmonious relationships and conflict avoidance was perceived to produce a neutral impact on the process of appraisal. The other four Chinese cultural values; the concept of face saving, connection and human feelings, the concept of reciprocation, and respect for age and seniority, were perceived to produce a negative impact on the process of appraisal. The research concluded that the implementation of a teacher appraisal scheme was perceived to produce a positive impact on all aspects of teaching behaviours, teacher relationships, teacher knowledge, teacher attitudes, and summative outcomes.

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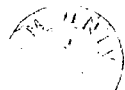
## CHAPTER 1

### INTRODUCTION

#### 1.1 Background for the Mandatory Teacher Appraisal Scheme

All government and aided schools in Hong Kong were requested to start implementing School-based Management (SBM) in 2000 (EMB, 2003:Forward). On 8 July 2004, the Education (Amendment) Ordinance 2004, a school-based management governance framework, was enacted and came into operation on 1 January, 2005 (EMB, 2005:1).

School-based management is regarded as one means by which quality education can be delivered (Education Commission, 1997:24; EMB, 2003:1). One of its key elements is the development of formal procedures and resources for staff appraisal and staff development according to teachers' needs (EMB, 2003:Forward). Recognising the urgent need to establish an effective teacher appraisal system, the Education and Manpower Bureau (henceforth EMB) requested that all government and aided schools have an open and fair staff appraisal system in place by the end of the 2001-02 school year, with a view to enhancing the professional development of teachers (Education Department, 2000:1). The reason for setting a time frame was that some schools were still reluctant to change their management systems (Chow, et al, 2002:87), which may have been an indication that many schools were experiencing difficulties with the implementation of staff appraisal and staff



development. The evaluation of human performance may be a difficult, sensitive matter subject to gross mistakes and misjudgement (Oliva and Pawlas, 2001:470).

## 1.2 Development of Teacher Appraisal in Hong Kong

Teacher appraisal was barely on the agenda of educational policy and practice in Hong Kong in the 1980s (Lee, et. al., 2003:3) and even in the early 1990s, teacher appraisal was not commonly practiced in local schools (Mo, et. al., 1998:21). Formal recognition of the need for teacher appraisal came in 1991 as part of a comprehensive schools reform policy called the School Management Initiative (SMI) (Walker and Dimmock, 2000:159) which, in essence, proposed a model for school-based management and was introduced as a voluntary scheme. Schools joining the SMI scheme were required to develop and implement a school-based teacher appraisal programme. Due to the voluntary nature of the SMI however, only a few schools joined the scheme and the impact of the initiative was limited (Lee, et. al., 2003:3). In addition, in 1994, the Task Group of Evaluation of the SMI Scheme (cited in Walker and Dimmock, 2000:160) reported that staff appraisal was the only controversial issue in some schools. Many teachers felt that the appraisal system had achieved very little in their schools, while there remained many who were sceptical as to the function of the appraisal system, believing that it could not help their professional development.

The next major initiative aimed at introducing teacher appraisal in Hong Kong schools came, once again, as part of a major reform package, this time entitled Quality School Education, commonly referred to as Education Commission Report Number 7 (ECR7). ECR7 continued the trend set by the SMI but with a different emphasis. Whereas the primary aim of the SMI had been to introduce a system of school-based management, founded on the body of research into a school's effectiveness, the thrust of ECR7 was to develop quality schools with quality cultures and to introduce a framework to monitor and assure quality (Walker and Dimmock, 2000:161). ECR7 continued to push forward the implementation of a fair and open performance appraisal system for all teachers (Education Commission, 1997:39), but, unlike the SMI, the report made appraisal mandatory for all government schools and aided schools. In order to implement the appraisal scheme successfully, it is suggested that the Government of the Hong Kong Special Administrative Region (HKSAR) should provide better supporting services such as consultancy and training to meet the needs of appraiser and appraisee.

In Hong Kong, teacher evaluation seems to place more emphasis on professional duties or responsibilities than on a teacher's actual classroom skills (Lee, et al, 2003:15). However, evaluating the performance of teachers in this way conceptualizes it as a simple technology which ignores imagination and reflexive thought about the teacher's action. A

worrying trend identified in a study by Walker and Cheng (cited in Lee et. al., 2003:7) found that Hong Kong primary school administrators tended to emphasise the need for hardware and technical support, and to downplay the importance of professional development. Lo (cited in Lee et. al., 2003:7) concurred, indicating that teacher development was not the central focus of reform in Hong Kong and that teachers in general lacked much needed professional development time and opportunities to reflect on their work in order to effect change.

### 1.3 The typical process of teacher appraisal in Hong Kong

Generally, the appraisal cycle comprises four phases, namely, pre-appraisal interview, collection of data on performance, appraisal interview, and review or complaints. In the phase of pre-appraisal interview, the appraisers, normally the panel chairpersons or the teacher-in-charge of a functional group, meet the appraisees to agree upon the areas of appraisal. Usually, the areas of appraisal include all responsibilities of appraisees and are imposed on them. In the phase of collection of data on performance, the data are collected through various means, for examples, self-appraisal, lesson observation, logs of professional development activities, inspection of student assignments, and setting and marking of test/examination papers. Among the various means to collect data on performance, the most important components are lesson observation and inspection of student assignments. In this

phase, the concept of conflict avoidance, high power distance and connection (*guanxi*) come to play and influence the assessments of appraisers. Appraisers have to consider three important issues in finalising their assessment. First, appraisers have to assess the impacts of their assessment on their appraisees in terms of their long-term working relationship with appraisees. Second, appraisers need to assess whether appraisees or their close relatives/friends have any connection (*guanxi*) with the authorities (e.g. school principal, SMC members, government officials) in order to avoid conflicts with them. Third, appraisers have to guess the assessment and responses of their own appraisers, the school principal. Therefore, the appraisal results may not truly reflect the actual performance of their appraisees. In the phase of appraisal interview, the appraiser and the appraisee discuss the appraisal results, for instance, giving feedback, recognising well-performed areas and suggesting areas for improvement. The appraiser and the appraisee sign on the appraisal report. In this phase, the appraisers would try to avoid giving poor assessment and critical feedback in order to avoid conflicts and maintaining harmonious relationship with their appriasees. Conversely, the appraisees might praise their appraisees by offering good appraisal results in order to establish good personal relationship, that is, connection (*guanxi*). In the phase of review or complaints, the school principal collects and reviews the appraisal results of all appraisers. The principal will meet and discuss the appraisal results with the appraisees, and will make necessary administrative or personnel decisions if necessary.

However, both complaints and personnel decisions are rare for three reasons. First, appraisees tend to accept the appraisal results of their supervisors under the influence of high power distance. Second, appraisees recognize that making complaints destroys the harmonious relationship with the school and they must avoid this. Also, they understand that senior teachers, SMC members and the EMB officials would support almost all decisions of the school principal under normal circumstances. Third, the school principal recognizes that terminating the service of the appraisee on the ground of poor performance is almost impossible. Therefore, this phase becomes rather ritualistic.

#### 1.4 Reasons for the Study

A well-planned and carefully implemented teacher appraisal scheme can have a far-reaching impact on teacher effectiveness (Larson, cited in Chow, et. al., 2002:87) in areas such as improved instruction, teacher commitment and teacher satisfaction. A good staff appraisal system may enable personal and professional growth of teachers and form the basis for fair and constructive personnel decisions. A poorly planned one, however, can dampen staff morale, discourage teacher collaboration and have a negative effect on teacher performance and attitudes (Mo, 1998:3).

In Hong Kong, the objectives for implementing teacher appraisal are accountability, staff motivation and professional development (EMB, 2003:3). However, educational and political arguments about the value of and purpose for appraisal have often conflicted. Teachers may not be unsympathetic to appraisal but may have genuine worries about the ways in which the concepts of appraisal are implemented. Teachers are concerned about the investment of time which appraisal demands and are uncertain about such matters as confidence in and empathy with appraisers. Problems of confidentiality loom large for many teachers. As the teacher appraisal scheme is relatively new in Hong Kong, it is worth exploring the problems and issues in its implementation and assessing the perceived impacts of the scheme in terms of how exactly the attitudes and behaviours of teachers have altered under the mandatory teacher appraisal scheme within the local context.

It is important to bear in mind that teacher appraisal is an educational practice lifted from Western societies, whose culture is significantly different from that of Hong Kong (Walker and Dimmock, 2000:155). There are good reasons for questioning the efficacy of transplanting teacher appraisal systems and processes into schools in Hong Kong. It is, therefore, valuable to explore how Chinese culture may be affecting the implementation and practice of teacher appraisal in Hong Kong. Furthermore, accompanying the globalization of economic and educational activities, there is a growing multicultural working environment

within educational organizations. An increased understanding of the effects of Chinese culture on teacher appraisal may shed light on how to implement the teacher appraisal scheme effectively in this multicultural educational context.

### 1.5 Aims of the Study

There are three main aims in this research. First, the research aims to explore the problems in implementing the mandatory teacher appraisal scheme in government and aided secondary schools. This is worthwhile because, as mentioned earlier, the Task Group of Evaluation of the SMI scheme (cited in Walker and Dimmock, 2000:160) reported that staff appraisal was the only controversial issue in some schools and some schools were still reluctant to change their management systems (Chow, et. al, 2002:87). Both of these may have been an indication that many schools were experiencing difficulties with the implementation of staff appraisal and development. Second, the research aims to explore the perceived effect of Chinese culture on the practices of the teacher appraisal scheme. This is important because the models of appraisal adopted in schools are based predominantly on Western assumptions and they may neglect the impact of significant features of Chinese culture on educational practices in schools. Third, the research aims to ascertain the perceived impacts of the mandatory teacher appraisal scheme. Since the teacher appraisal scheme is a key element of school-based management and school-based management is



regarded as a means to achieve quality education (EMB, 2003:1), the perceived impacts of the teacher appraisal scheme on quality of education deserve attention.

## CHAPTER 2

### LITERATURE REVIEW

#### 2.1 Definition

The origins of teacher appraisal schemes lie outside education, where they were known as 'performance appraisal' following developments in the field of Human Resource Management (HRM) in the 1970s (Vanci-Osam and Aksit, 2000:256). Recently, the as yet ill-defined term "performance management" has been frequently used (Andersen, et. al., 2006:63). In its broad sense, formal performance appraisal is a scheme which regularly and systematically evaluates an employee's performance. In the U.S., teacher appraisal is better known as teacher evaluation but this is probably only a difference in terminology. In general, any particular definition of appraisal tends to reflect the different purposes it intends to serve. For example, when the focus is on the accountability of individual teachers, the definition may emphasise the assessment of teacher competencies. Sergiovanni (cited in Wanzare, 2002:214) defines teacher appraisal as a process of calculating the extent to which a teacher measures up to pre-existing standards that may include a programme, goal, teaching intent, a list of 'desirable' teaching competencies or performance criteria. When the focus is on the accountability of organisation, the definition may be geared more towards the effectiveness of organization. Embreston et al, (cited in Wanzare, 2002:214) regard teacher appraisal as a management function designed to maintain organizational efficiency, establish standards for staff performance and appraise staff performance. When the focus is on the

staff development, the definition may emphasise personal development of teachers. The Advisory, Conciliation and Arbitration Service (ACAS) (cited in Mortimore and Mortimore, 1991:126) defines teacher appraisal as “a continuous and systematic process intended to help individual teachers with their professional development and career planning, and to help ensure that the in-service training and deployment of teachers matches the complementary needs of individual teachers and the schools”. A fourth definition emphasises on both the improvements in teachers’ performance and students’ learning. Redfern (1962, cited in Higgins, 2002:10) defines: “Teacher appraisal is a means to an end. It is a tool to help the teacher to become more competent in the performance of his duties and responsibilities. These duties and responsibilities must be continually evaluated in relationship to the primary task of the school that of improving learning opportunities for boys and girls.” The definition probably reflects the value of appraisers and affects the way in which appraisers approach and carry out their tasks. When appraisers have different definitions of teacher appraisal, they may be bound to differ in their approaches to the task. With this kind of variation in teacher appraisal procedures, teachers may tend to think, in general, that the interest of appraisers, not theirs, is served in the process of appraisal.

Despite the above differences, there are common themes from the standpoint of individual teachers. A comprehensive definition of teacher appraisal might comprise the

following five hierarchical aspects of teacher appraisal, ranging from utilitarian to altruistic.

Firstly, teacher appraisal can be seen as a process of collecting and using information from individual teachers to determine the value of their teaching activities (Daresh and Playko, cited in Wanzare, 2002:214). Secondly, teacher appraisal may serve as a diagnostic role in which individual teachers seek assistance from inspectors and evaluators to determine their performance (Koinange, cited in Wanzare, 2002:214). Thirdly, teacher appraisal may be a means of making individual teachers aware of the efficacy of their teaching practice, encouraging them to analyse and evaluate it, and implement changes as needed (Gullatt and Ballard, cited in Wanzare, 2002:214). Fourthly, teacher appraisal may be a reflective process by individual teachers of gathering data through both formal and informal means and then making decisions for future actions (Drake and Roe, cited in Wanzare, 2002:214). Fifthly, teacher appraisal may be a way in which individual teachers show concern for students, faculties, staff and the community (Drake and Roe, cited in Wanzare, 2002:214). Teacher appraisal, therefore, is a measure of teacher competence based on data collected formally or informally and may be conducted for several reasons. (Figure 2.1)

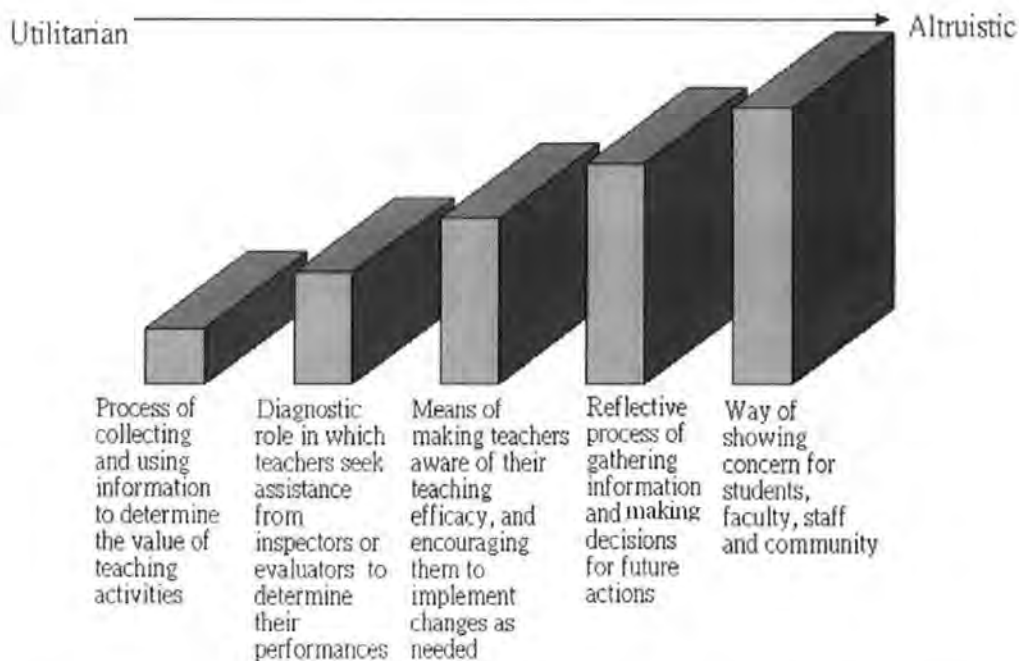


Figure 2.1: A hierarchical model proposed for the definition of teacher appraisal  
(Source: Researcher)

## 2.2 Purposes of Teacher Appraisal

We have seen that teacher appraisal may serve different purposes in different schools. Based on the underlying philosophy of appraisers to appraisal, appraisal could be classified into two types, namely, rational and political. The two types of appraisal could be seen as lying on the two ends of a continuum. On one end is the rational approach which assumes appraisal is an objective, rational and accurate process. On the other end is the political approach which assumes the management may deliberately distort and manipulate appraisals for political reasons. A rational approach might see the first and most important step in establishing an appraisal system to be defining the purposes of the appraisal, which in turn determine the criteria and procedures of appraisal (EMB, 2003:1). Randall et. al. (1987,

cited in Vanci-Osam and Aksit, 2000:256) consider the main purposes of teacher appraisal schemes to be for 'evaluating', 'auditing', 'constructing succession plans', 'changing jobs', 'discovering changing needs', 'motivating staff', 'developing individuals' and 'checking the effectiveness of personnel procedures'. Mo (1998:5) stresses that the most important purpose of appraisal is the improvement of teacher performance. Although the ACAS definition is commonly quoted, it does not make explicit reference to improvements in pupil learning and development (Mortimore and Mortimore, 1991:127). Salford Education Department (cited in Mortimore and Mortimore, 1991:127), however, recognises that the purpose of appraisal is to benefit the learning of pupils by recognising effective classroom practice. According to one body of opinion, if appraisal becomes a constructive system, it will win teachers' trust and respect and result in improved teaching and learning (NUT, cited in Mortimore and Mortimore, 1991:127). On the other hand, any realistic discussion of performance appraisal must recognize that organizations are political entities and that few, if any, important decisions are made without key parties acting to protect their own interests. Hence, political consideration may constitute one of the problematic aspects of teacher appraisal. As such, appraisers are political actors in an organization, and they often attempt to control their destinies and gain influence through internal political actions. It is likely that political considerations influence appraisers when they assess appraisees. There are at least three reasons to explain why politics are so pervasive. Firstly, appraisers realize that

they must take into consideration the daily interpersonal dynamics between them and their appraisees will have to continue whatever happens in the appraisal. Secondly, the formal appraisal process results in a permanent written document. This means there is a permanence to and record of the appraisal event. Thirdly, the formal appraisal may have considerable impact, positive or adverse, on the career and advancement of appraisees in the organization. Extensive evidence indicates that behind a mask of objectivity and rationality, a lot of appraisers intentionally manipulate appraisals for political purposes; it seems that the politics of performance appraisal is unacknowledged (Longenecker, et. al. 1987:183).

When adopting a rational approach, the purpose of teacher appraisal systems can be classified as two types, formative or summative, with each serving its own purposes (Mo, 1998:2). Formative appraisal helps teachers to diagnose and solve instructional problems in order to make improvements and further their professional development (Acheson and Smith, cited in Wanzare, 2002:214). Summative appraisal is often used to help managers evaluate the quality of a teacher's overall instructional performance (Beach and Reinhartz, cited in Wanzare, 2002:215). It can often be an evaluation of the quality and worth of an individual teacher over a specific time frame (Gullatt and Ballard, cited in Wanzare, 2002:215). Andrews and Barnes (cited in Mo, 1998:2) consider formative appraisal as a process evaluation and summative appraisal as a product evaluation. Process evaluation provides

information for teachers to make adjustments during the appraisal period. Product evaluation places a value on the performance of teachers and that value can be used in making decisions about contract renewal, assignment to a rung on a career ladder or a performance-related pay award. For Stiggins (cited in Mo, 1998:2), the purpose of formative appraisal is to provide information about a teacher's strengths and weaknesses in order to plan for remedial training and to promote professional development. Summative appraisal, on the other hand, provides information for personnel management decisions and promotes educational accountability. Arguably, both systems of appraisal are important as they both aim to improve schools by improving teacher performance and by promoting sound personnel decisions (Bridges; Duke and Stiggins, cited in Mo, 1998:2; Mortimore and Mortimore, 1991:127). (Figure 2.2)

Whether it is best to implement the two appraisal systems differentially is still the subject of great debate (Duke, 1995; Haefele, 1993; cited in Mo, et. al., 1998:22; Townsend, 1995; Fisher, 1995; cited in Gratton, 2004:292). Some researchers have argued that the formative and summative purposes of appraisal are contradictory and cannot be achieved within the same system (Stiggins and Bridgeford, cited in Mo, et. al., 1998:22; Bartlett, 2000:25). They argue that teachers will not expose their shortcomings if there is a risk that summative assessment might be made of them on the basis of information obtained for



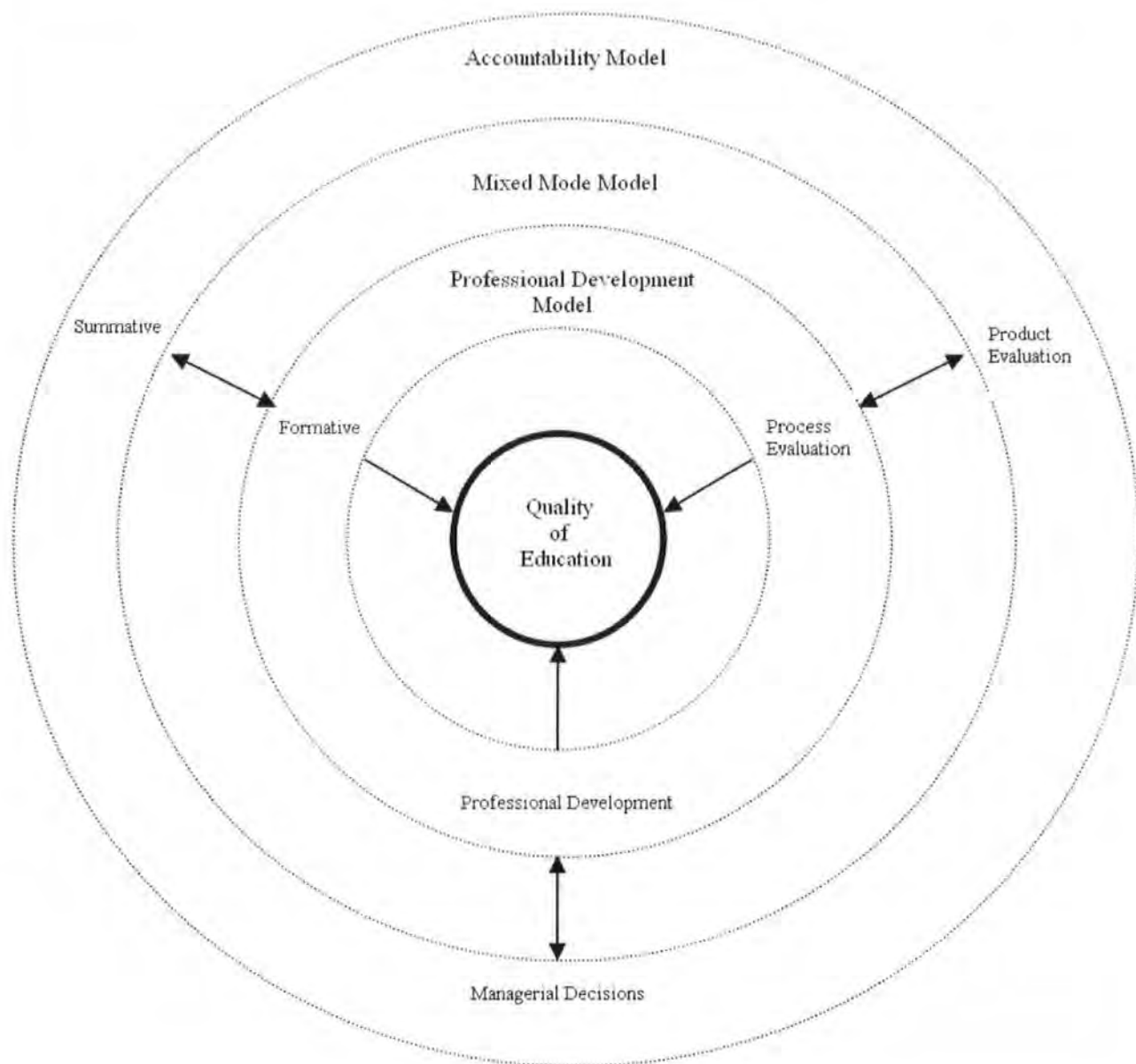


Figure 2.2: Integrated Model of Purposes of Appraisal (Source: Researcher)

(Quality of education is placed at the center because the ultimate aim of all models is to raise the quality of education. The professional development model is placed in the most inner circle because it directly affects the teaching process, attitudes and capability of teachers. The accountability model is placed at the outermost circle because it aims to raise the quality of education indirectly through sound managerial decisions, product evaluations and summative outcomes. The mixed mode model is placed in between because it adopts mixed measures from the other two models. Arrows in the diagram indicate the direction of influence.)

formative purposes. Stiggins and Duke (cited in Higgins, 2002:11), however, comment on the value of each of these two types of appraisal in terms of their contribution to overall school quality. They argue that systems that promote accountability can be seen as striving to improve school quality by protecting students from incompetent teachers: however, because the majority of teachers have a minimum level of competence these systems probably only directly affect a very few teachers who are incompetent. If the purpose is to make general improvements to school quality, then the use of these strategies will only have a limited impact on overall school improvements because it targets such a small number of teachers. Growth oriented systems, on the other hand, have the potential to develop all teachers and not just those few who have problems. There is no question that all teachers can improve certain areas of their performance: however, purely formative systems do not address the need to make personnel decisions based on the competency of teachers, while purely summative systems very often are based on inadequate performance data and, as a result, seldom lead to instructional improvement (Valentine, cited in Mo, et. al., 1998:22).

An appraisal system that serves both formative and summative purposes is therefore advocated by the Hong Kong Government (Walker and Dimmock, 2000:162; EMB, 2003:3).

The teacher appraisal scheme is expected to serve both formative and summative purposes, including helping teachers to improve their performance through appropriate staff development, while providing information to aid personnel decision making such as

promotion and disciplinary action. However, the feasibility of such a dual purpose and possibly self-contradictory purpose appraisal scheme has not been universally tested or confirmed. Therefore, schools are advised to assess the suitability of different appraisal models carefully and to tailor the model to their needs (EMB, 2003:14; Ondrack, 1986:106).

### 2.3 Key Features of Effective Appraisal

One characteristic of effective appraisals is often given as the notion of “fitness for purpose” (Boice and Kleiner, 1997:197). Until one knows the purposes for which the appraisal has been established it is invidious to evaluate the success or otherwise of the appraisal. In strict terms, appraisal is effective when it produces desired outcomes, regardless of whether there are any accompanying undesirable outcomes. There is considerable debate as to whether the purpose of teacher appraisal is to help teachers improve their teaching or to rate them for the purpose of making managerial decisions (EMB, 2003:3; Mortimore and Mortimore, 1991:125; Wanzare, 2002:213). While it certainly can be argued that these two purposes are different (Middlewood and Cardno, 2001:12; Hutchison, 1995:21), developing an effective performance appraisal system requires strong commitment from top management (Longenecker and Gioia, 2001:22). If the system does not provide the linkage between employee performance and organizational goals, it is bound to be less than completely effective (Boice and Kleiner, 1997:200, Middlewood, 2001a:130).

Although relative to the volumes of research on the mechanics of appraisals not a great deal is known about what makes performance appraisal systems effective, it is clear that certain groups of appraisal features remained constant over time (Wright and Cheung, 2007:222; Ondrack, 1987:107). These key features may be categorized under the headings of shared understanding of the criteria and processes for teacher appraisal (Ondrack, 1987:107; Darling-Hammond, et. al., 1983:320; Longenecker and Goff, 1992:21), clarity in guidelines and criteria (Piggot-Irvine, 2003:175; Darling-Hammond, et. al., 1983:320; Longenecker and Goff, 1992:21), outcomes directly linked to improved learning and teaching (Stiggins and Bridgeford, 1985:86; Piggot-Irvine, 2003:172; Darling-Hammond, et. al., 1983:320), balance between control and autonomy (Darling-Hammond, et. al., 1983:320; Melvin, cited in Ondrack, 1980:108-109), trust (Lawler, et. al., 1984:31; Mayer, 1980:62; Odhiambo, 2005:412), ongoing performance feedback (Longenecker and Nykodym, 1996:159; Wright and Cheung, 2007:222; Boice and Kleiner, 1997:198), confidential and transparent process (Piggot-Irvine, 2003:173; Middlewood, 2001b:192; Casey, et. al., 1997:478), training (Middlewood, 2001a:136; Longenecker and Goff, 1992:21; Longenecker and Nykodym, 1996:160), separation of disciplinary processes from appraisal (Casey, et. al., 1997:478; Piggot-Irvine, 2003:175; Peterson and Peterson, 2006:9), objective information (Wright and Cheung, 2007:222; Stiggins and Bridgeford, 1985:88; Peterson and Peterson, 2006:19), appraisee and appraiser acceptance (Ash, 1994:246; Roberts and Pavlak, 1996:386),

quality time (Piggot-Irvine, 2003:175; Peterson and Peterson, 2006:7), goal setting (Roberts and Pavlak, 1996:385; Piggot-Irvine, 2003:173; Mayer, 1980:62), and upper-management support (Boice and Kleiner, 1997:200; Roberts and Pavlak, 1996:384; Ondrack, 1986:107).

### *Shared understanding of the criteria and processes for teacher appraisal*

It is argued that every effective system of personnel evaluation begins with the developing of a philosophy of education and the purposes which will be served by the evaluation of teacher performance (Ondrack, 1986:107). The philosophy and purposes will be the rationale upon which the entire appraisal system is based. If everyone in the organization understand why appraisals are being conducted and how the system operates, the confusion and ambiguity surrounding the process will be reduced.

### *Clarity in guidelines and criteria*

Clarity in guidelines and criteria for all teacher appraisal processes may be advised as crucial if teachers are to understand how to implement policy effectively (Smith, 1995:203). Darling-Hammond et. al. (1983:320) claim that it would be better for all participants to understand how these criteria and processes relate to the basic goals of the organization. That is, there is a shared sense that the criteria reflect the most important aspects of teaching, that the appraisal system is consonant with their educational goals and

conceptions of teaching. In Hong Kong, individual schools have great autonomy and flexibility in adopting processes to meet the requirements of the EMB. It is recommended that the appraisal process should be developed with a genuine intent for improvement and not check-listing alone. Also, Smith (1995:203) recommends the process should be well publicized in the school and explicitly detailed.

*Outcomes directly linked to improved learning and teaching*

Longenecker and Goff (1992:17) claim that to be effective, appraisers and appraisees should have a shared belief that the appraisal system is useful to them on an individual basis. Thus, an effective appraisal system should be one that at least satisfies the needs of the parties involved in the process (Lawler, et. al., 1984:21). Lawler, et. al. (1984:22) claim that if it is to meet the needs of appraisees, it must help them know the organization's official view of their work, their chances for advancement and salary increases within the organization, and ways they can improve their performance to better meet their own and the organization's goal. If it is to meet the typical goals of the organization, performance appraisal must help the organization utilize the skills of its employees, and motivate and develop them to perform effectively. Therefore, Darling-Hammond, et. al. (1983:320) advise that for a successful teacher appraisal system, teachers will perceive that

the evaluation procedure enables and motivates them to improve their performance, and principals will perceive that it enables them to provide instructional leadership.

### *Balance between control and autonomy*

Darling-Hammond, et. al. (1983:320) advise that for an effective appraisal system all individuals will perceive that the evaluation procedure allows them to strike a balance “between adaptation and adaptability, between stability to handle present demands and flexibility to handle unanticipated demands”; that is, that the procedure achieves a balance between control and autonomy for the various participants in the system. The standardization of performance ratings or procedures may be desirable for the comparison of appraisees with different appraisers, and the comparison of appraisees across different jobs. However, there are definite limits to the utility of standardization, and taken to the extreme, a rigid standardization can actually reduce effectiveness. A rigid standardization can make it difficult to adapt to changing job requirements and thereby reduce managerial appraisal flexibility and discretion (Roberts and Pavlak, 1996:388). Therefore, Marks et. al. (cited in Ondrack, 1980:109) advise that appraisal should not obstruct freedom for teacher initiative in classroom experimentation of methods, nor interfere with a classroom climate of satisfaction, creativity and accomplishment.

## *Trust*

Trust has been called the “foundation of school effectiveness” (Cunningham and Gresso, cited in Tschannen-Moran and Hoy, 1998:341), and is often seen as a vital element in well functioning organizations. It is regarded as necessary, but not sufficient, condition for the effective cooperation and communication which are the bases for productive relationships (Baier, 1986:232). Any activity that tampers with this trust factor would be viewed as a threat to long-term managerial effectiveness and employee performance (Longenecker and Ludwig, cited in Middlewood, 2001a:135). Trust is regarded as important for the implementation of a widely accepted and effective appraisal programme (Odhiambo, 2005:412). With trust, a potentially threatening process in which assessment is made of individual performance could be viewed by staff as one which will be managed fairly by those in authority - even where doubts exist as to the validity of the actual scheme (Middlewood, 2001a:135). With trust, employees may assume that there will be no manipulation or hidden agenda (Middlewood, 2001b:190) and the process is fair and transparent and they are unlikely to question the mechanisms and processes they are subjected to. Without trust, openness is likely to give way to inauthenticity and initiative turns to cynicism (Hirschhorn, cited in Tschannen-Moran and Hoy, 1998:350). Tschannen-Moran and Hoy (1998:348) propose that trust between teachers is basically determined by the behaviour of teachers in relation to one another and the principal’s impact



in generating trust between teachers is limited. Therefore, it is hard to obtain a situation in which trust exists. Its absence could seriously affect the effectiveness of an appraisal system (Middlewood, 2001a:135).

### *Ongoing Performance Feedback*

Performance feedback may be viewed as both an input and an output of the performance appraisal process (Roberts and Pavlak, 1996:385). Ongoing performance feedback could reinforce appropriate actions and enable necessary adjustments for performance improvement. Therefore, appraisal effectiveness may be increased by scheduling regular and informal mini-appraisals or performance counseling sessions (Logenecker and Nykodym, 1996:161). During these regular mini-appraisals, honest and two-way communication between appraiser and appraisee is encouraged. They provide opportunities for appraiser to monitor appraisee progress, provide the appraisee with ongoing feedback, and help catch little problems before they become big problems. Accordingly, yearly performance appraisal evaluations are not advised to substitute for the essential day-to-day interaction and coaching that is characteristic of effective supervision and leadership. Furthermore, appraisers are advised to be skilled at presenting feedback in a timely, specific, behavioural, and non-threatening fashion (Taylor, et. al., cited in Roberts and Pavlak, 1996:385).

### *Confidential and transparent process*

Piggot-Irvine (2003:173) considers it important as an appraiser to be absolute in maintaining confidentiality in dealing with information, whether it is from respondents providing feedback, or documentary evidence, or information from the principal. There are some aspects of human existence which may affect performance – which are not the business of appraisers, unless the appraisee wishes them to be (Middlewood, 2001b:192). In Hong Kong, the Personal Data (privacy) Ordinance ensures the employees' legal right to protect their privacy of personal data. Also, both Piggot-Irvine (2003:173) and Middlewood (2001b:191) claim that an appraiser needs to be transparent to show that the information collected has not been tampered with or altered. Clearly, lack of confidentiality and transparency will create mistrust between appraisers and appraisees, which will diminish the effectiveness of appraisal.

### *Training*

Training is often seen as a major aspect of developing an effective performance system for those individuals involved as raters (Boice and Kleiner, 1997:198). Stiggins and Bridgeford (1985:96) suggest providing relevant training to appraisers so that they know how to use evaluation instruments to acquire useful, objective data, interpret results, and use those results to advantage. They also suggest that appraisers may be trained to provide feedback

to appraisees that is clear, precise, and sufficiently diagnostic to promote realistic plans for improvement. This training is advised as starting with a focus on providing the appraiser with a systematic approach to the practice of effective people management (Goff and Longenecker, 1990, cited in Boice and Kleiner, 1997:200). Also, it may be better for this training to focus on the process of managing, motivating and evaluating employee performance: performance appraisal is only a part of this overall process and it is important that appraisers see it within its wider context and not as a simple “quick fix” solution. Finally, the training is suggested to focus on specific skills such as supervision skills, coaching and counselling, conflict resolution, providing feedback, goal setting, and conducting appraisal review (Longenecker and Nykodym, 1996:160).

#### *Separation of disciplinary processes from appraisal*

An aspect that will jeopardize the development of trust and openness in appraisal is having the same personnel carrying out appraisal and disciplinary proceedings (Cardno and Piggot-Irvine, cited in Piggot-Irvine, 2003:175). That is not to say that appraisal may not alert the appraiser and management to the areas that need to be addressed under disciplinary proceedings. Piggot-Irvine (2003, p.175) contends that once the disciplinary alert is activated, either a different individual should carry out the disciplinary process, or if the original appraiser is nominated to carry out this process, then a new appraiser should be

appointed. However, this practice would demand a large pool of appraisers for effective appraisal systems in schools.

### *Objective information*

It is usually advised that discussions between appraisers and appraisees are based on factual, objectively collected, and data-based information if the appraisal process is to be considered as a valid, fair, rigorous and reliable approach to managing the performance of staff (Cardno and Piggot-Irvine, 1996:20). If such information is not collected, then an outcome may be that the perception of appraisal is that it is a poorly constructed process that reinforces inadequate, inaccurate and subjective decision making at the management level. This, in turn, could lead to a climate of substantial mistrust between managers and staff and the demise of appraisal as a credible process for enhancing organizational and individual improvement.

### *Appraisee and appraiser acceptance*

It is claimed that participant acceptance of an organization's performance appraisal system is perceived to be a critical factor in appraisal effectiveness (Longenecker and Nykodym, 1996:152). It is advised that the attitudes of both appraiser and appraisee toward the appraisal scheme may ultimately determine the success or failure of the system (Roberts

and Pavlak, 1996:386). Participants' overall acceptance of the appraisal system may facilitate its operational effectiveness through enhancing their perceptions of the system's validity and accuracy (Ash, 2001:246). In addition to satisfy the needs of appraiser and appraisee on individual needs (Longenecker and Nykodym, 1996:152), factors that influence acceptance may encompass agreement between appraiser-appraisee on the definition of good performance, how performance appraisal information is interpreted, an absence of race and sex bias, conformance to equal employment opportunity, confidentiality of appraisal information, two-way communication, consistent application of performance standards, opportunities to challenge, and rater's familiar with appraisee work. A higher level of acceptance is suggested to link with greater appraisee participation, which may be viewed as essential in ensuring the success of performance appraisal (O'Neal and Palladino, 1992:93). Therefore, during the appraisal interview, appraisees may be encouraged to provide input, present their opinions and be able to rebut rater feedback that they disagree with (Roberts and Pavlak, 1996:384). Probably, this may be perceived as a way to increase the effectiveness or the acceptance of appraisal.

### *Quality time*

Making and taking enough time to carry out appraisal can be crucial to its effectiveness (Piggot-Irvine, 2003:175). Management, especially the middle managers as

the key implementers, are advised to give time and support to implement the appraisal.

Where appraisal is working well, for example, it is often because management has accorded it priority in the plethora of management tasks that occur in schools, and middle managers have time allocation to carry it out. It is also apparent that, in these schools, the senior managers themselves fully engage in their own appraisal, that is, they select a model that it is worthy of a high priority in their time management.

### *Goal setting*

Goal setting may be viewed as a critical component of an effective performance management program (Mayer, 1980:62). The literature states that goals that are too easy will not motivate sufficiently, while difficult goals will frustrate employees and result in withdrawal or diminution of effort (Roberts and Pavlak, 1996:385). Therefore, it is advised that goals should be challenging with a moderate probability for accomplishment. On the other hand, Piggot-Irvine (2003, p.173) claims that a key to effective appraisal is the establishment of appraisal goals and plans for improvement that are in a “deep” as opposed to “surface” format. In a deep plan, an appraisee will examine the current situation of the issue, plan for change or improvement, carry out improvement and then evaluate its effectiveness. At all stages of the plan, there are expectations of data-based reflection and an emphasis on improved learning and teaching. On the contrary, a surface plan is one that is concerned

with getting the goal out of the way as quickly as possible rather than focusing substantially on something that results in considerable improvement to learning and teaching. The surface approach is a quick-fix approach to goal setting and is based on the motive to minimize effort and also to minimize the consequences. It is claimed that the development of such as deep plan may provide clear indicators for assessment of the achievement of goals and objective data of the entire appraisal process (Piggot-Irvine, 2003, 175).

#### *Upper-management support*

Research in performance appraisal suggests that performance appraisal systems require upper-management support to be successful (Roberts and Pavlak, 1996:386). Strong commitment from upper-management could provide the linkage between employee performance and organizational goals (Boice and Kleiner, 1997:200). Longenecker and Nykodym (1996:160) claim that the primary causes of appraisal ineffectiveness fall squarely on the appraiser's shoulder. Therefore, upper-management support and commitment may be demonstrated by holding appraisers accountable for how well they administer their performance appraisal responsibilities and by providing comprehensive performance appraisal training.

## 2.4 Causes of Ineffective Appraisal

Some managers find the formal appraisal process to be frustrating, political and a less than meaningful experience (Gioia and Longenecker, 1994:52; Longenecker, 1997:212). In order to explore the causes of ineffective appraisals, Longenecker (1997:213) conducted qualitative research interviewing 120 very experienced managers from five large organizations. These managers were asked to respond individually to the following open-ended research question, “Based on your experience, what factors cause managerial performance appraisals to be ineffective?”. Managers were then placed in five person focus groups to analyze their individual responses and develop consensus as to the primary causes of ineffective managerial appraisals. Responses from these 24 focus groups were then content analysed and frequency counts and corresponding percentages were tabulated.

From the research, Longenecker (1997, p.213) proposes his top ten causes of ineffective appraisals. The first cause is suggested to be “not having clearly established performance criteria or not having effective rating instruments”. If ambiguity surrounds job descriptions, and goals that will be the basis of the evaluation, the process will be doomed to fail from the start. Also, the rating instruments are perceived as essential to support the appraisal process by capturing critical desired behaviours and outcomes with corresponding meaningful performance standards and metrics. However, this cause may not be applicable



in societies with low uncertainty avoidance culture. From researcher's experience, as long as the appraisees trust their appraisers, they may not mind having unclear performance criteria or ineffective rating instruments.

Longenecker's second cause is the lack of trust and confidence between appraiser and appraisee. He means that if the working relationship between appraiser and appraisee is not based on trust, mutual respect, two-way communication and a shared sense of commitment to each other, the appraisal process will lack credibility and effectiveness. He claims that the absence of these qualities can breed doubt, cynicism, and suspicion on the part of appraisees.

Longenecker's third cause is that the appraiser lacks actual hands-on information on the appraisee's actual performance. Appraisers may claim that they are generally very busy and do not have time to monitor appraisees' performance on an ongoing basis. They may not know what their appraisees are actually doing and rely heavily on an overall impression of how well they are performing. Longenecker argues that appraisal process will obviously break down when appraisers do not have any working knowledge of their appraisees' actual behaviour and contribution to the organization. Arguably, this may not

always be the case. From researcher's experience, in many occasions, impression rating might be more accurate to give holistic ratings to appraisees.

Longenecker's fourth cause is the lack of ongoing performance feedback. He suggests that ongoing performance feedback is needed to reinforce appropriate actions of appraisees and may allow them to make adjustments when their performance needs improvement. When negative feedback about appraisees' past performance is stored up and delivered suddenly during the appraisal review process, the credibility of appraisers may be immediately called into question. Conversely, instead of coming in one large dose, appraisees would truly appreciate the praise and positive feedback to be spread across the entire year.

Longenecker's fifth cause is the over-critical or hindsight appraisal reviews. When appraisal reviews dwell on only the negative aspects of an appraisee's performance, the overly negative review may become an event to be dreaded by the appraisees rather than being a performance and development-enhancing vehicle. When appraisal reviews are conducted in an atmosphere of negativity with a hindsight attitude from the appraiser, the frequent responses of appraisees will be defensiveness, bitterness, a bad attitude, and frustration. Longenecker points out that over-critical or hindsight appraisal reviews are not

always appreciated unless they come from someone an appraisee trusts, respects and believes has their best interests in mind.

Longenecker's sixth cause is a perceived political review. He contends that when the performance of an appraisee is being evaluated, in theory the performance itself should be the sole focus of the evaluation. When appraisees perceive that potentially political factors such as loyalty, promotability and connections are part of their ratings, the credibility of the appraisal process may be seriously damaged. He suggests that political ratings tilted in the favour of appraisees may not be perceived for what they really are. But the perception of political ratings that provide appraisees' performance ratings that are lower than what they believe they deserve will generate a negative response. He claims that many of the characteristics of ineffective appraisals can easily create the perception that the rating process is political. He proposes that unclear performance standards, a poor working relationship, lack of hands-on knowledge of subordinate performance, and lack of ongoing feedback can help fuel political perceptions on the part of the appraisee.

Longenecker's seventh cause is the lack of focus on development or improvement. He finds that many appraisers are quick to criticize but are reluctant or uneasy when helping appraisees create a development action plan to enhance performance. He suggests that the

formulation of development action plans could demonstrate an appraiser's concern and commitment to an appraisee's development and organizational viability. When development planning is not part and parcel of the appraisal process, the appraisees may feel short-changed and a performance improvement opportunity may be lost.

Longenecker's eighth cause is an ineffective link to reward systems. All of the organizations in Longenecker's study used a pay-for-performance system. In theory, the better the performance, the greater the corresponding increase in compensation. When appraisees believe the ratings they receive underestimate their actual contribution to the organization, the reward for performance linkage may be threatened. Also, when the amount of merit they receive does not correlate with their perceived contribution to the organization, they may feel under-appreciated or even cheated. However, in researcher's opinion, in educational fields, the motivational force generated by money may not be as great as in commercial fields and may not be long-lasting. Researcher proposes that internal motivation, which may be inspired by a sense of commitment and identification with the mission of schools, may have a potential enormous and persistent motivational effect on the teachers.

Longenecker's ninth cause is that the appraiser lacks rating skills or motivation.

He considers that appraisers must possess specific skills such as performance planning, goal setting, coaching, decision making, interviewing and conflict resolution to be effective appraisers. At the same time, he claims that appraisers must have the desire to conduct an effective performance review. When appraisers do not possess sufficient quantities of these characteristics, positive rating outcomes will be an aberration. It is suggested that the effectiveness of appraisal schemes depends on the availability of quality appraisers.

Longenecker's last cause is that the review process lacks structure and substance.

He claims that appraisees want a structured, formal performance review from their appraisers who evaluate their performance in an objective and systematic fashion. They want their appraisers' time and attention, substantive feedback on their past performance, and specific input on what they must do to improve. When an appraiser rushes through the written review or the face-to-face performance review and fails to provide specific and detailed examples to support their summary evaluations, cynicism, frustration and tension will usually follow.

Longenecker's research offers an overall review of ineffective appraisal. However, we should be careful and caution about his research results. In general, the internal validity

of Longenecker's research is strong because he had asked the relevant question. However, his methodology may not necessarily help to find out the real causes of ineffective appraisal since his research relied on the perceptions of managers. The perceptions of managers might not be the real causes of ineffective appraisal. In addition for focus groups interview, the research may be supplemented by documentary search, and organization observations. Therefore, Longenecker's research identified only the perceived causes of ineffective appraisal. On the other hand, the external validity of his research may not be strong for at least five reasons. First, Longenecker's research was done in more than 10 years ago. Second, U.S. and Hong Kong are two societies with very different cultures. Third, commercial organizations differ significantly from educational organizations in their HRM (human resources management) practices. Fourth, the number of organizations participated in his research is limited and is not representative to the whole population of U.S. organizations. Fifth, there may be the problem of inter-rater reliability in the focus groups interviews. Therefore, his research result could not be extended to current schools in Hong Kong. Nevertheless, Longenecker's research does offer useful reference in examining causes of ineffective appraisal in current schools in Hong Kong.

Having reading through sections 2.1 to 2.4, it is clear that teacher appraisal may be defined as a measure of teacher competence based on data collected formally or informally.

Based on the underlying philosophy of appraisers, appraisal systems may be analysed by either a political approach or a rational approach. When adopting a rational approach, the purpose of appraisal can be classified as formative or summative. The purpose of formative appraisal is to provide information about a teacher's strengths and weaknesses in order to plan for remedial training and to promote professional development. Summative appraisal, on the other hand, provides information for personnel management decisions and promotes educational accountability. A review of literatures may identify certain key features of effective appraisal. These features include shared understanding of the criteria and processes for teacher appraisal, clarity in guidelines and criteria, outcomes directly linked to improved learning and teaching, balance between control and autonomy, trust, ongoing performance feedback, confidential and transparent process, training, separation of disciplinary processes from appraisal, objective information, appraisee and appraiser acceptance, quality time, goal setting, and upper-management support. Also, Longenecker's study of the cause of ineffective appraisal may provide clues and hints for identifying problems in implementing appraisal in Hong Kong. Keeping the above essential points in mind, literatures on the impact of Chinese culture, and the evaluation of appraisal are reviewed in the following paragraphs.

## 2.5 The Effect of Chinese Culture on Appraisal

Since education is essentially a human activity, it is culture-bound (Dimmock, 2000:197). Culture is a complex concept, which may be defined as “the collective programming of the mind which distinguishes the members of one group or society from those of another” (Hofstede, 1980:25). The prospects for successful implementation are enhanced when policy makers and school administrators adopt behaviours consistent with the characteristics of the prevailing culture. This does not suggest that culture alone is the only determining factor. But culture is often a neglected or underestimated angle and consequently merits attention. As the models of appraisal adopted in schools are based predominantly on Western assumptions, they may neglect the impact of significant features of Hong Kong culture on educational practice in schools. Hong Kong's predominantly Chinese culture poses questions as to the suitability of staff appraisal policies and approaches that have been forged in Western cultures, being imported into its schools. Walker and Dimmock (2000:164) suggest dividing the cultural suitability of Western appraisal models for Hong Kong schools roughly into two components, namely, the general principles of appraisal, and the processes involved in the implementation and operation of an appraisal scheme. The general principles of appraisal include generic tenets such as accountability of teachers, the need for feedback for better performance, and the collecting of information for promotion and contract renewal. Such principles can be regarded as universally acceptable



and able to cut across cultural differences, regardless of the values underpinning beliefs and actions. General principles and policies, however, become problematic at the implementation and operational level and it is here that cultural considerations particularly come into play.

The trend of importing or cloning of policies, processes, and approaches in educational reforms such as appraisal has become even more pronounced in recent years as a direct result of globalization (Dimmock, cited in Walker and Dimmock, 2000:157). This phenomenon of unquestioning acceptance of practices such as teacher appraisal from the West denies the influence of societal culture on policy and practice in schools (Dimmock and Walker, cited in Walker and Dimmock, 2000:157). Organizational theorists outside education have long recognized the limitations of English-language Western organizational theory in non-English speaking Western and non-Western contexts (Mamman and Saffu, 1998:302). Whitty, Power, and Halpin (cited in Walker and Dimmock, 2000:157) point out that adopting policies across cultures without recognizing their distinctive historical and cultural dimensions risks “false universalism”. In other words, unthinking importation too often concentrates on identifying “surface” similarities, but does so without “reference to the culture in which they the policies and practices were developed.” Dimmock and Walker (cited in Walker and Dimmock, 2000:157) argue that the risks of “cross-culture cloning” may

apply equally between and within different English-speaking Western societies as they do between more obviously diverse cultures.

## 2.6 Concept of Cultural Dimensions

Hofstede (cited in Randolph and Sashkin, 2002:105) recognized four dimensions for analysing and understanding national cultural differences. They are power distance, uncertainty avoidance, individualism versus collectivism, and masculinity versus femininity. Later, a fifth dimension, Confucian work dynamism, was added (Chinese Cultural Connection, 1987:158). Power distance is defined as “the extent to which a society accepts the fact that power in institutions and organizations is distributed unequally” (Hofstede, 1980:45). Uncertainty avoidance concerns the degree to which organization members want to avoid ambiguity and uncertainty in favour of clear goals and operating guidelines (Hofstede, cited in Randolph and Sashkin, 2002:105). The individualism versus collectivism dimension relates to individuals’ relative emphasis on their self-interests versus those of the collective (Hofstede, cited in Awasthi et. al., 1998:120). The masculinity versus femininity dimension focuses on the degree to which people feel that they should be assertive, results-focused, and insensitive to emotions versus feeling they should be more nurturing, less results-focused, and more sensitive to emotions (Hofstede, cited in Randolph and Sashkin, 2002:105). The Confucian work dynamism reflects the Confucian work ethic

(Chinese Culture Connection, 1987:150), which consists of eight Chinese values, namely, ordering relationships, thrift, persistence, having a sense of shame, reciprocation, personal steadiness, protecting your “face”, and respect for tradition.

The traditional Chinese culture is described as high power distance, low uncertainty avoidance, collectivist, possessing unity of masculinity and femininity (neither masculinity nor femininity) (Fan, 2000:6). In order to explore the effects of Chinese culture on the teacher appraisal scheme, the concept of cultural dimensions is often employed. Western models of appraisal often not only assume direct feedback will be given, that open communication is commonplace and a more equal relationship between superior and subordinate exists, but also that members of an organisation see themselves as individuals rather than as part of a team (Dimmock, 2000:215). In collectivist societies such as Hong Kong, however, these assumptions may not hold, and giving direct feedback may destroy the harmony that is considered so important in governing interpersonal relationships in Chinese culture. The employee may lose ‘face’ and, with it, personal loyalty to the organisation. Appraisers may, therefore, be extremely reluctant to provide honest feedback on teaching performance, thereby seriously impairing the efficacy of the appraisal process. Furthermore, Chinese culture emphasises reciprocity and connection (*Guanxi*) or personal relationships among individuals (Fan, 2000:9). Connection (*guanxi*) (refer to definition below) is valued

over tasks. This militates against task performance-based, impersonal and impartial evaluation or opinions in appraisal situations.

## 2.7 Effect of Chinese Cultural Dimensions and Values on Teacher Appraisal

In Hong Kong, people of Chinese descent comprise the vast majority of the population, with foreign nationals comprising 5% (Census and Statistics Department, 2007:5). It is imbued with aspects of traditional Chinese culture, in which the Confucian ethos continues to shape values and actions. The traditional Chinese culture is described as high power distance, low uncertainty avoidance, collectivist, possessing unity of masculinity and femininity. (Please refer to the definitions of the terms given in Section 2.6.) The colouration of human interaction will be according to these cultural characteristics. Given the strength of such values and characteristics in Chinese culture, it would seem very likely that they are to some extent influencing the teacher appraisal scheme. The most likely ones here are “Maintenance of harmonious relations and conflict avoidance”, “Concept of face saving”, “Connection (*Guanxi*) and respect for human feelings (*Ren Qing*)”, “Concept of reciprocation”, “Concept of trust between friends”, and “Respect for age and seniority”.

### *High power distance*

High power distance implies that managers and subordinates accept their respective

positions in the organization's hierarchy, and operate from these fixed positions. In societies with high power distance, greater inequalities of power distribution are expected and accepted in the family, in school and in the workplace. Managers do not consider subordinates to be "people just like me"; neither do the subordinates view their managers as people just like themselves. For instance, it is accepted in the work culture that obedience is due to the holder of the position not on any rational basis, but simply by virtue of the authority of the person. In fact, if the manager were to offer a rationale for his decisions, it is highly probable that the employees would misconstrue the explanation as a sign of weakness. Individuals in such a work culture will tend to regard the manager as a "wimp" if he fails to exercise his authority. In performance management, all the critical activities in goal setting, job performance and appraisal review require the manager to function as a coach and mentor to his subordinates. High power distance is certainly not compatible with this nature of a manager-subordinate relationship. Nor is it compatible with the joint problem solving so essential to successful performance management. In practice, this acceptance of authoritarian leadership leads to a situation where peer evaluation virtually does not exist and only formal leaders are deemed qualified to evaluate others performance (Huo and Glinow, 1995:10).

### *Low uncertainty avoidance*

People in low uncertainty avoidance cultures are comfortable with less formality and formalization and with fewer explicit organizational rules, policies, and procedures. They are more tolerant of a range of different opinions, they prefer fewer rather than more rules, and on the philosophical and religious level, are more relativist and tolerant of different faiths and creeds (Dimmock, 2000:202). Such people are more phlegmatic, contemplative, and less emotional. In low uncertainty avoidance societies, a wide range of alternative channels exists through which norms are relayed, and the culture is more flexible in imposing norms (Triandis, cited in Lique and Sommer, 2000:838). Adherence to formal organizational procedures is less enforced, and values such as stability, solidarity, and duration are not accentuated. In addition, managers tend to have a stronger interpersonal style in their interaction with subordinates, employees tend to be more ambitious, and work tends to be less structured (Earley, cited in Lique and Sommer, 2000:838). Therefore, Huo and Glinow (1995:10) suggest that appraisal systems in Chinese organizations should avoid using too many objective techniques or instruments because the Chinese have a higher tolerance of subjectivity. As long as the Chinese feel they can trust the leaders who conduct the appraisal, they will accept subjective evaluations on their performance. They feel comfortable with a straightforward form of appraisal, even if it means some loss of precision or sophistication.

## *Collectivist*

In collectivist cultures, the individual's identity is derived from membership in family, caste or clan, and community whose norms and values must be unquestioningly accepted (Lique and Sommer, 2000:842). Such cultures emphasize the priority of the group over an individual, including how a person's behavior impacts the group. Good relationships and interpersonal and organizational harmony are preeminent considerations. In other words, relationships are valued over tasks. Unlike in individualistic cultures, work for the individual is not so much an act of self-fulfillment or self-expression, but is primarily a means to maintain family, to provide for the wellbeing of aged parents, spouse and children (Mendonca and Kanungo, 1996:70). Therefore, when job tasks are performed, the individual's priority and concern is not the accomplishment of job objectives, as such, or the fulfillment of obligations that arise from the contract of employment. What is also more salient are the personalized relationship generated by the job. In a work culture characterized by collectivism, employees, even when they perform extremely well, may not tend to get satisfaction from "work well done" but, rather, from "work well recognized".

The transfer and import of appraisal systems developed within individualistic cultures into collectivist societies can therefore be questioned in three respects. Firstly, a system based on the judgment of individuals appears incongruent with collectivism. If

teachers are predominantly concerned with "fitting into" and supporting the group, individual performance becomes secondary, and any individual judgment or advice means less than a person's role in the wider group. Secondly, since relationships are valued over tasks in Chinese organizations, related Western notions of impersonality, objective measures, and personal achievement become troublesome when decisions are being made about what form appraisal should take. Thirdly, in collectivist cultures, achievement motivation is based on achievement for the family or the group, not for oneself. If achievement is conceptualized in terms of the group rather than the individual, individualized forms of performance appraisal may be ineffective in Hong Kong schools (Walker and Dimmock, 2000:165).

Fourthly, the Western forms of appraisal often promoted in Hong Kong call for individuals to formally set their own, individual achievement goals. However, the collectivists appear more comfortable working without clear goals or criteria and the lack of explicated and formalized rules affords the flexibility and adaptability seen as necessary for maintaining harmony and making decisions on relational grounds. Therefore, to force teachers in Hong Kong schools to set "individual" achievement goals may be impractical and have little influence on performance. It may be that a form of small-group goal setting would be more appropriate in collectivist societies (Walker and Dimmock, 2000:166).



### *Possessing unity of masculinity and femininity*

Masculinity versus femininity dimension is concerned with the ways in which biological differences between sexes become perpetuated in differences in social and organizational roles played by men and women (Harrison, et. al., 1994:246). Masculine cultures expect men to be assertive, ambitious, and competitive, to strive for material success, and expect women to care for the nonmaterial quality of life, for children and for the weak (Hofstede, 1984:390). In the workplace of a masculine culture, assertiveness is taken as a virtue and selling oneself, decisiveness and emphasis on career are all valued (Dimmock, 2000:201). By contrast, feminine cultures define relatively overlapping social roles for the sexes, in which neither men nor women need to be ambitious or competitive. In the workplace, assertiveness is not appreciated, people are expected to undersell themselves, and emphasis is placed on quality of life and intuition (Dimmock, 2000:201).

In more masculine societies, performance appraisals are largely results-driven and judged by the outcomes of performance. Outcomes of performance are regarded as more important than the processes. Usually, the job objectives, performance standards, evaluation measures, and feedback mechanisms are largely defined by the supervisors. The subordinates are granted relatively greater autonomy to decide their ways to achieve the designated outcomes. Also, interpersonal relationships are relatively insignificant or

undesirable. Over-emphasis of performance outcomes may cause over-competition among employees which devastates teamwork. Also, this may increase the risk of unethical practices. Furthermore, high masculinity may generate a sense of inhumane among employees which diminish the sense of belonging to the organisation. By contrast, in more feminine societies, the orientation of employees is towards people or personalized relationships rather than towards performance. Considerable interpersonal relations are involved in managing employee performance. Supervisors and subordinates jointly define job objectives, set performance standards and evaluation measures, and establish feedback mechanisms. High femininity can contaminate the inter-personal process as one's relationships are personalized rather than contractual, and as the feedback is misconstrued as attacks on the person rather than on the observed behaviours (Mendonca and Kanungo, 1996:70). Furthermore, the evaluation of performance will always be problematic because the employee believes that loyalty to the superior, just like loyalty to the head of the family, is more important and expected, rather than meeting the contractual obligations of the job.

#### *Maintenance of harmonious relations and conflict avoidance*

In Chinese communities, good relationships and interpersonal and organizational harmony are preeminent considerations. Any form of unpleasant confrontation that may upset relationships is avoided. The centrality of maintaining harmonious relationships in

Chinese organizations clashes with the Western notions that some variation of views and convictions, openly expressed, can be productive and lead to fresh ideas (Fullan, cited in Walker and Dimmock, 2000:172). In Chinese organizations, Western notions of power sharing, typified by public explanations and exchanges, debates, voting, and documentation, are unusual. Most forms of dispute or disagreement are alien to Chinese cultures, where harmony is paramount. In Chinese organizations, the norm is to consciously avoid directly contradicting others, especially formal leaders or more senior colleagues. To avoid loss of face and to preserve harmony there is no need to say “no”; people feel comfortable with saying “yes”, which indicates understanding but not agreement. In most situations, the Chinese are reluctant to confront others. Open disclosure and critical reflection are uncommon in interpersonal interactions such as appraisal meetings or classroom observations. Disclosure that may lead to confrontation is avoided, since it might be perceived as a threat to authority and hierarchical relationship. Kirkbride, Tang and Westwood (1991:367) conclude that confrontational meetings, negotiation, and even third party interventions that demand an open critiquing of others can prove highly problematic in Chinese organizations. If teachers are unwilling to openly critique their own performance - much less that of others - during appraisal meetings, it appears unlikely that worthwhile discussion will result. This is the reason why open appraisal is not readily practiced above a perfunctory level in many Chinese organizations and that, as a result, Western appraisal schemes even when officially

implemented seldom reflect the real situation (Torrington and Tan, cited in Walker and Dimmock, 2000:172).

### *Concept of face saving*

Face (*mianzi*) is the social status that one has, and a person's face will have an effect on that person's ability to influence others (Hempel, 2001:208). In Chinese organizations, issues of face govern social relationships through providing powerful social sanctions. Face can only be gained or preserved if a person behaves in an appropriate manner according to the situation and the position of the other person in the relationship. Any disruption of face risks unsettling the harmony of the group and therefore the smooth operation and the effectiveness of the organization. Since face can be thought as a form of social currency, it is important to carefully consider how performance appraisals will influence the face of subordinates. Appraisers may therefore be extremely reluctant to provide honest feedback on teaching performance, thereby seriously impairing the efficacy of the appraisal process.

In schools, school principals often find it difficult to provide candid feedback for fear it will cause themselves or the teachers to lose face. The same holds for peer appraisal where teachers are reluctant to openly criticize colleagues for fear of making them lose face.

Consequently, any comment about performance or development tends to be superficial, perhaps failing to lead to improved performance. On the other side of the face equation, Chinese teachers are generally reluctant to admit to their own weaknesses or problems, typically responding in ways suggesting that they do not have any problems. Consequently, appraisal approaches grounded in self-appraisal may encounter difficulties. Exposing problems may not only be seen as a sign of weakness but, and perhaps more importantly, may also indicate that people are not contributing sufficiently to the goals of the group or organization. Again, this unwillingness to expose problems seems typical, whether the type of appraisal is summative, formative, top-down, self, or peer. Even when criticism is given, it is usually hedged with numerous qualifiers and the content of the criticism is stated indirectly. In these respects, the original purpose of appraisal as conceived in Western terms - may be lost (Walker and Dimmock, 2000:172).

#### *Connection (guanxi) and human feelings (renqing)*

The Chinese word *guanxi* refers to the concept of drawing on connections in order to secure favors in personal relations (Luo, 1997:44). It is an intricate and pervasive relational network which Chinese cultivate energetically, subtly, and imaginatively. It contains implicit mutual obligation, assurance and understanding, and governs Chinese attitudes toward long-term social and business relationships. Human feeling (*renqing*) is the

unpaid obligations to the other party as a consequence of invoking the connection relationship. In essence, human feeling provides the moral foundation for the ideals of reciprocity and equity that are implicit in all connection relationships. Connection differs from networking in the Western management literature. Connection is essentially personal, not organizational, relations whereas networking is the term virtually associated with organizational-to-organizational relations. Within connections, the Chinese are often socialized to mask their true feelings in personal interactions, often by nodding and smiling. In Western appraisal terms, the shape of such interpersonal relationships influences the essential communicative elements of feedback and personal exposure. Also, a practical consequence of connection is that personal connections and loyalties are often more important than organizational affiliations, and legal standards. Decisions in Chinese organizations are often based on the person rather than the task. This relates to an implicit assumption that performance or promotion is in some way linked to connections, such as loyalty.

### *Concept of reciprocation*

The norm of reciprocity is often regarded as a universal one and has been accepted as a basic moral rule of social cohesion in most cultures (Hwang, 1987:956). The theory is that social relationships among human beings cannot be effectively established without the

norm of reciprocity. What motivates the Chinese to do human feelings (*renqing*) for another is their anticipation of repayment. Although Confucian ethics emphasizes the idea that one should help other people without any expectation of reciprocation, that concept basically remains “the ideal of Sages” (King, cited in Hwang, 1987:957). To ordinary people, Chinese ethics gives a positive value to the obligation of reciprocation and lays heavy stress on the practice of such maxims as “Do not forget what other people have done for you” and “Do not forget the beneficence done to you, even if it is small.” Supported by such rules, the benefactor can rightly look forward to a return, a reciprocal action not to be neglected by the receiver, in the future, when he, himself, is in great need. It is largely owing to this anticipation of reciprocity that the benefactor is willing to display a human feeling (*renqing*) to the receiver.

In Chinese organizations, the trade-off for the obedience and respect granted to leaders is an equally powerful obligation for the leader to reciprocate (Walker and Dimmock, 2000:168). Leaders must care for and protect their followers. In practice, this means that leaders should not embarrass or openly criticize teachers. Nor can they place others’ jobs, careers, or standing at risk. Reciprocity dictates that both parties must be given face. For example, during an appraisal meeting, the leader gives the teacher face through praising the teacher’s performance and, likewise, the teacher attempts to give the supervisors face by

agreeing with them. The requirement for harmonious relationships then implies that both teachers and formal leaders are expected to yield to established structures and the accompanying behavioral prescriptions, which include, conformity, reciprocity, compliance, uniformity, and obedience. The Chinese are less likely to take the initiative, proffer opinions, take risks, or depart from established procedures without a superior's approval. In appraisal terms, such behavior is unlikely to lead to open discussion of strengths, weaknesses, or developmental needs, thus turning any discussion into a "polite" one-way conversation.

#### *Concept of trust between friends*

The concept of trust between friends is prescribed in the Confucian concept of *wu lun* (five cardinal relations). Trust may be defined as a willingness to rely on another party and to take action in circumstances where such action makes one vulnerable to the other party (Doney, et. al., 1998:604). It is a psychological state that provides a representation of how individuals understand their relationship with another party in situations that involve risk or vulnerability. Accordingly, trust embodies the accumulated experiences with, and knowledge about, the other party in situations involving vulnerability. Mayer et. al. (1995:716) argued that a higher level of trust in a work partner increases the likelihood that one will take a risk with a partner (e.g. cooperate, share information) or increases the amount of risk that is assumed. Risk-taking behavior, in turn, is expected to lead to positive



outcomes (e.g. individual performance). And, in social units such as work groups, cooperation, information sharing, etc. are expected to lead to higher unit performance.

Alternatively, Dirks and Ferrin (2001:456) proposed that trust does not act in a direct causal role or elicit particular outcomes itself. Instead, trust moderates the effect of primary determinants on outcomes by affecting how one assesses the future behavior or interprets the past actions of another party. By impacting the assessment of the other party's future or prior actions, trust reduces some of the concomitant uncertainty and ambiguity. Trust can lead to cooperative behaviour among individuals, groups, and organizations (Jones and George, 1998:531). For performance appraisal to be successful there must be trust in the following eight aspects. First, there must be trust in and respect for the person who is managing. Second, there must be trust that appraisee will be involved in joint negotiations. Third, there must be trust that what occurs is relevant to appraisee and his teaching. Fourth, there must be trust that all of appraisee's peers would be involved in performance appraisal as, not just a select few as time, resources, and funds are limited. Fifth, there must be trust in confidentiality of information. Sixth, there must be trust that appraisee will be provided with the necessary resources and support to improve his performance once an area of need is established. Seventh, there must be trust that appraisee will not be disadvantaged or unfairly treated by exposing an area of weakness. Eighth, there must be trust that the whole process is not just some catch phrase that is the hot term for current years. In short, without trust,

performance appraisal will have no value to individual teachers, to management, to the government, or for students.

### *Respect for age and seniority*

In Chinese societies, relationships are guided largely by seniority, as reflected in terms of position, connection, and age (Walker and Dimmock, 2000:167). Supervisors are normally more advanced than their subordinates in terms of both age and experience. This emphasis on seniority is consistent with the Chinese traditional respect for “elders” (“*changbei*”) who are supposed to be more knowledgeable and wiser because of their life experience. Juniors, regardless of gender, are expected to defer on most occasions and in most matters to their seniors. In the work place, employees are promoted on the basis of seniority rather than ability on most occasions. However, the respect for seniority clashes head-on with the Western idea of a meritocracy in which the most capable should rise to the top regardless of age. Resentment might therefore arise in organizations if younger Chinese are promoted to positions above their former supervisors who are older and more experienced. Their former supervisors will feel a loss of face, a real source of shame in Asian societies. In performance appraisal, most often, distinctions are made in terms of age and seniority. There would be more praise and allowance for the older or more senior employees because the Chinese are generally uncomfortable in criticizing older colleagues. This issue becomes

even more complicated if the appraiser is younger than the teacher being appraised, and is female.

## 2.8 Evaluation of Appraisal

### *Impact on teaching behaviours*

Evaluation studies of different teacher appraisal schemes give diverse and contrasting conclusions in the perceived impacts on teaching behaviours. Teacher evaluation has been regarded as one of the most powerful ways to impact instruction (Wise, et. al., 1985:76). In Kenya secondary schools, both educational administrators and teachers generally felt that appraisal encourages effective teaching which in turn produces quality teaching (Odhiambo, 2005:407). The evaluation study in Wales concludes that there is evidence to show that performance management arrangements are helping to improve teachers' practice (Estyn, 2006:3). The most frequently mentioned change by far was in better meeting the needs of less able pupils, asking more open ended questions, using a better mix of activities, better organisation of resources, better allocation of time for activities, better pacing of lessons, better handling of transitions between activities, budgeting more time within lessons to observe individual pupils, better planning of lessons, and better records of pupils' assessed work (Kyraicou, 1995:112). In Shanxi, China, the teacher appraisal scheme has improved the professional performance of the teachers from "at standard" to

“above standard” in nine aspects (Wang, 2007:1017). The nine aspects are preparedness for instruction, management of instruction time, management of student behaviour, instructional presentation, monitoring of student performance, providing reinforcement and feedback, facilitating instruction, communicating with students, and chalk board skill. Among these nine improvement aspects, the top three improvement aspects are monitoring of student performance, communicating with students, and facilitating instruction. It is possible that the improvement in teaching performance is because the teacher appraisal program has increased awareness of research findings concerning effective teaching practices (Texas Education Agency, 1991:56). Alternatively, appraisal can give appraisees time to reflect on their teaching and organization (Healy, 1997:214).

The Ofsted (Office for Standards in Education) reported that teacher appraisal had produced positive change in practice in only 20% of the schools visited since September 1995 (cited in Healy, 1997:214). Turner and Clift (1988:173) argued that there was no shortage of evidence to suggest that little or nothing tangible seemed to have resulted from the appraisal system. They concluded that that in many cases, appraisals did not seem to have much direct relevance for teaching techniques (Turner and Clift, 1988:179). Other studies concurred, suggesting that for a significant number of teachers, appraisal does not have any direct impact on teaching, let alone learning (Mercer, 2006:23). Kyriacou (1995:112)

reported that about two-fifths of the teachers felt the process had led to changes in their classroom practice, implying that 60% felt it had not. Winstanley and Stuart-Smith (cited in Mercer, 2006:23) argued that, there is no conclusive evidence that the use of performance management systems results in improved performance. In addition, Mercer (2006:23) reported that six teachers among 29 teachers claimed that the appraisal system had actually had a negative effect on their teaching in that it either made them more tired and stressed, or else it encouraged them to keep the students happy by giving them what they wanted, rather than helping them learn by giving them what they needed.

### *Impact on Relationships*

On one hand, teacher appraisal schemes are considered to substantially improve teacher-principal relationships (Wise et. al., 1985:176). Evaluation responsibilities have brought principals into classrooms regularly and most teachers and principals have improved their communications. They are beginning to establish common goals and this has brought about a sense of team effort at the building level that did not exist before. Wang (2007:1018) reported that teachers experienced far more collaboration in five areas after implementing teacher appraisal scheme. The five areas of increased collaboration were “I discussed instruction-related topics with my peers”, “I prepare lessons with my colleagues”, “I ask my colleagues for assistance”, “My colleagues ask me for assistance”, and “My colleagues come

up to discuss instruction-related topics with me”. On the other hand, teacher appraisal schemes can be potentially disruptive to staff-administrator relationships (Stiggins and Bridgeford, 1985:86). They may undermine mutual trust and the social contract between employee and employer. They could reduce industrial democracy, destroy working relationships and increase occupational stress. Finally, teacher appraisal schemes may discourage teachers from sharing excellent lessons (Texas Education Agency, 1991:57).

#### *Impact on teacher knowledge and their professional development*

Appraising is itself an educational process (Casey et. al., 1997:468) which may produce positive impact on teacher knowledge and professional development. It can promote professional practice in several ways – through reflection; by bringing tacit knowledge to consciousness where it can be questioned; through removing isolation and enhancing communication and critical analysis; by promoting a professional culture and lexicon; through enabling educators to learn from practice; through encouraging interpretations from broader perspectives and contexts; by providing a sense of history and direction. Appraisal can increase teachers’ awareness of curriculum issues (Odhiambo, 2005:407) and can support enquiry and research which contributes to an evolving pedagogy. However, there is a view that changing teacher behaviour relies on the development of two important conditions within the individual teacher: knowledge that a course of action is the

correct one and a sense of empowerment of efficacy, that is, a perception that pursuing a given course of action is both worthwhile and possible (Darling-Hammond, et. al., 1983:314). While this may be an attractive view one consequence might be that effective change requires knowledge control on the part of the teacher. Here, not only is information-processing reliant on the teachers' beliefs, but the ways in which new knowledge or transformed beliefs are applied must be under the teacher's control.

It is claimed that teacher appraisals would help improve the professional development of teachers (DfEE, 2000:3). Some teachers felt that having an opportunity, during a formal annual performance review, to reflect upon various aspects of their performance enabled them and their team leader to jointly formulate a highly relevant individualised professional development plan, based upon their own particular needs (Brown, 2005:476). Others, however, reported that even though an appropriate plan had been formulated, it had not subsequently been implemented because of a shortage of either time or resources. Another group felt that performance management did not improve the professional development of teachers because they claimed to be aware of their own particular strengths, weaknesses and developmental needs anyway, regardless of whether or not they were required to have a performance review.

Most teacher evaluation conducted today attempts to achieve both aims of professional development and school accountability simultaneously. In practice, however, most evaluation practices address summative goals (Stiggins and Bridgeford, 1985:85). Formative teacher evaluation - potentially important in instructional improvement and individual development - often assumes a secondary role. Public pressures for summative evaluation affecting teacher job status - selection, and dismissal - may make formative evaluation much more difficult (Darling-Hammond, et. al., 1983:288). Increasing the prescriptiveness and specificity of evaluation procedures, particularly the need for extensive documentation of all negative findings, generates anxiety among teachers and inhibits the principal's role as instructional leader or staff developer. Summative evaluation criteria must be more narrowly defined if they are to be applied uniformly, thus limiting their use for formative purposes. Furthermore, constraints on classroom behaviour intended to weed out incompetent teachers may prevent good teachers from exercising their talents fully.

#### *Impact on teacher attitude*

Teacher appraisal can change employees' attitudes about their work environment, and the level of openness in supervisor-subordinate communication was positively related to subordinate satisfaction with organization, job, and the performance appraisal (Nathan et. al., 1991:353). Odhiamobo (2005:407) reported that teacher appraisal schemes have the ability



to motivate teachers and boost morale. Kyriacou (1995:115) concurred that teacher appraisal schemes had led to some feeling of satisfaction when teachers had achieved their setting targets. On the other hand, Blackburn and Pitney (1988:21) argued that most current systems of performance appraisal could be dysfunctional, and create morale problems. The outcomes of performance appraisal often have a significant impact on the climate of the organization and the commitment of its employees. Texas Education Agency (1991:56) concurred that the TTAS (Texas Teacher Appraisal System) has had a negative impact on teacher morale. Teachers argued that teachers who have exceeded expectations and are clearly outstanding should not be subjected to constant appraisals. Appraisers should not be under pressure from districts to keep scores down because this practice causes competition among teachers and does not result in better practices. Also, teachers dissatisfy that most teacher appraisal schemes are more summative than formative. There is a general lack of integration between teacher evaluation and staff development or district curriculum guides (Stiggins and Bridgeford, 1985:89).

#### *Impact on summative outcomes of appraisal*

In evaluation studies conducted in the public school sector, almost all teachers accept the principle of appraisal (Mercer, 2006:18). Also, most teachers perceive that appraisal is essential for teachers' accountability. Wise et. al. (1985:76) reported that in

most districts of the USA, the teacher evaluation system has led to personnel actions.

Although few LEAs (Local Educational Agencies) used evaluation outcomes to terminate tenured staff, non-tenured staff were dismissed on the basis of evaluation in most sample LEAs. In Kenya secondary schools, the educational administrators generally felt that good results of appraisal are important for promotion, and appraisal acts as a reminder for the teachers of what they are expected to do, i.e. accountability (Odhiambo, 2005:407).

Teachers concurred that teacher appraisal schemes encourage hard working and accountability. However, in an evaluation study of the appraisal of principals, Leithwood et. al. (1990:211) reported that in very few cases were administrative actions (e.g. promotion, dismissal) a consequence of the appraisal process. Even though principals tend to be very satisfied with the processes used in their appraisal, the impact of these processes is almost non-existent.

## 2.9 Conclusions

If an organization is going to rely heavily on the use of performance appraisal as a vehicle to foster managerial development, it needs to employ an effective appraisal system (Longenecker, 1997:212). Since the mandatory teacher appraisal scheme is a rather new initiative in Hong Kong, the above discussion suggests that at least three measures should be taken to ensure its effectiveness and continuous improvement: first, to find out whether there

are any problems in its implementation; second, to find out whether it is compatible and congruent with the local societal culture; third, to assess its impacts. Therefore, the above three measures are chosen as the aims of the research. The research aims are: (1) to explore the problems in implementing the mandatory teacher appraisal scheme in the government and the aided secondary schools; (2) to examine the perceived effects of Chinese culture on the practice of the mandatory teacher appraisal scheme; (3) to ascertain the perceived impacts of the mandatory teacher appraisal scheme. The key features of effective appraisals and the ten causes of ineffective appraisals in the literature review offer hints for formulating the specific research questions about problems in implementing the appraisal scheme. With reference to the problems in implementation, three research questions were formulated. They are: (1) What are the possible problems experienced in implementing the mandatory teacher appraisal scheme in the government-funded secondary schools? (2) How do the possible problems prevent the effective implementation of the mandatory teacher appraisal scheme? (3) What are the degrees of significance of these possible problems in the effective implementation of the mandatory teacher appraisal scheme?

With reference to the impacts of local societal culture, the concept of cultural dimensions and some core Chinese culture values have inspired the researcher to formulate questions exploring the impacts of Chinese cultural dimensions and core values in

implementing the mandatory appraisal scheme. Two research questions were formulated for this research aim. They are: (1) What are the impacts of the four cultural dimensions, namely, high power distance, low uncertainty avoidance, collectivism, neither possessing masculinity nor femininity, on the practice of teacher appraisal scheme? (2) What are the impacts of some Chinese cultural values, namely, concepts of maintaining harmonious relations, face saving, connection, trust and respect for age and seniority, on the processes of appraisal?

With reference to the impact of appraisal scheme, the various evaluation studies of appraisal schemes have stimulated the researcher to assess the outcome of the appraisal scheme in terms of change in teacher behaviours, teacher relationship, teacher knowledge, teacher attitude, teacher development, and summative outcomes. Five research questions were formulated for this research aim. They are: (1) What are the perceived impacts of implementing the mandatory teacher appraisal scheme on teaching behaviours of teachers? (2) What are the perceived impacts of implementing the teacher appraisal scheme on the appraiser-appraisee relationship, teacher-student relationship, peer relationship, teacher-school relationship and teacher-community relationship? (3) What are the perceived impacts of implementing the mandatory teacher appraisal scheme on teacher knowledge? (4) What are the perceived impacts of implementing the teacher appraisal scheme on teacher's

attitudes towards teaching? (5) What is the perceived importance of the mandatory teacher appraisal scheme in producing the summative outcomes of appraisal?

Hopefully, the conduct of this research can enable educators to have a better understanding in the issues of teacher appraisal scheme in Hong Kong.

## CHAPTER 3

### RESEARCH DESIGN AND METHODOLOGY

#### 3.1 Research Design

This research is an exploratory study with the main emphasis on fact-finding. The aims of study are to obtain, analyze and compare information on the problems, the perceived impacts and the effects of Chinese culture in implementing the teacher appraisal scheme. Therefore, a well-structured and piloted survey can be a relatively inexpensive and quick way of obtaining information (Bell, 1993:11). A survey is an information-gathering technique in which a set of questions is presented to a group of respondents (Kane, 1990:72). If surveys are self-administered, that is, the respondents themselves write the replies on the forms, they are referred to as questionnaires. The advantages of questionnaires as an information-gathering technique are that they are relatively easy to administer, encourage greater honesty due to anonymous answering, reduce bias by avoiding face-to-face interaction, and are relatively economical in terms of time and cost (Monyatsi, 2002:166). However, questionnaires, like other data collecting instruments, have disadvantages too. It is difficult to get questions that explore in-depth information. Questionnaires are inflexible and limited by nature as the mind of the question setter dictates the scope of the responses. There is some argument that this inflexibility can jeopardize the validity of the information gathered if respondents interpret concepts and questions differently (Monyatsi, 2002:167).

In order to overcome the weaknesses of using questionnaires as a data-collecting technique, semi-structured interviews are employed to complement questionnaires. A major advantage of the interview is its adaptability (Bell, 1993:91). A skilful interviewer can follow up ideas, probe responses and investigate motives and feelings, which questionnaires cannot do. The way in which a response is made (e.g. the tone of voice, facial expression, hesitation, etc.) can provide information that a written response would conceal. Questionnaire responses have to be taken at face value, but responses during an interview can be further developed and clarified. However, interviews also have problems. They are time-consuming to administer and there is always the danger of bias (Bell, 1993:91). Analysing responses can present problems, and wording the questions is almost as demanding for interviews as it is for questionnaires.

The combination of qualitative and quantitative research methods, known as methodological triangulation, increases the validity of the conclusions if they produce consistent findings (Cohen, et. al., 2000:114). Conversely, if the findings are not consistent, then there should be some invalidity or at least some elements of disjunct between uses of the two data sources to inform the same research questions. If such inconsistent findings occur, the data should be used to refine the research questions for a future researcher, rather than to use these to draw immediate conclusions. Bearing this in mind, this research employs a

two-tier research design, that is, a questionnaire survey plus a follow-up semi-structured interview. In the first phase, quantitative questionnaires were used to survey the problems and issues in implementing the mandatory teacher appraisal scheme. In the second phase, qualitative semi-structured interviews were conducted to explore the deep issues based on the initial analysis of the quantitative survey.

### 3.2 Validity and Reliability

Validity is essentially a demonstration that a particular instrument does, in fact, measure what it purports to measure (Vockell and Asher, 1995:99). In this research, validity is strengthened by three means. Firstly, triangulation, defined as the use of two or more methods of data collection in the study of some aspect of human behaviour (Vockell and Asher, 1995:115), is used. Triangular techniques attempt to map out, or explain more fully, the richness and complexity of human behaviour by studying it from more than one standpoint. In this research, there is a combination of quantitative and qualitative approaches to data collection, known as methodological triangulation. Methodological triangulation refers to the use of the same method on different occasions or different methods on the same subject of study (Wellington, 2000:24). This allows the data collected in the quantitative questionnaires to be validated by the data collected in the semi-structured interviews. Also, data are collected from respondents of different positions of responsibility



or seniority, which is known as investigator triangulation. Investigator triangulation refers to the use of more than one observer or participant in a research setting (Wellington, 2000:24; Smith, 1975:289). Observers and participants working on their own each have their own observational styles and this is reflected in the resulting data. The careful use of two or more observers or participants independently, therefore, can lead to more valid and reliable data (Vockell and Asher, 1995:115; Smith, 1975:289). Smith (1975:290) comments that investigators with differing perspectives or paradigmatic biases may be used to check out the extent of divergence in the data each collects. Under such conditions, if data divergence is minimal, then one may feel more confident in the data's validity. On the other hand, if their data are significantly different, then one has an idea as to possible sources of biased measurement which should be further investigated. Secondly, both the quantitative questionnaire and the qualitative questionnaire are sent to a panel of experts consisting of university lecturers and secondary school administrators for comments and confirmation on the aspects of face validity, content validity and construct validity. Content validity is achieved by professionals judging the relevance and sampling of the contents of the test to a particular domain. They confirm that the questionnaires appear, at face value, to test what they are designed to test. They judge professionally that the content of the questionnaires sample fairly the subject matter in question. Also, performance on the questionnaires is explained fairly by particular appropriate constructs or concepts. Thirdly, a trial run was

carried out with five participants before the pilot test. Feedback was collected on the wording, format, context, and validity of the quantitative questionnaire. They commented that items in the questionnaire measured or described what they were supposed to measure, that is, the questionnaire was generally valid.

Reliability is essentially a synonym for consistency and replicability over time, over instruments and over groups of respondents (Wiersma and Jurs, 2004:9). For research to be reliable it must demonstrate that if it were carried out on a similar group of respondents in a similar context (however defined), then similar results would be found. In order to ensure reliability in this research, a pilot study with both test and re-test was conducted to check the reliability of the quantitative questionnaires. In piloting the questionnaires, it is important that an appropriate length of time separates the test and the re-test. If the length of time is too short, respondents in the re-test may remember what they said or did in the test situation. If the length of time is too long, there may be extraneous effects operating to distort the data. In this research, the length of time was set at one month. The correlation coefficients were calculated for the reliability of the test and the re-test. The statistical significance of the correlation coefficient can be found and should be 0.05 or higher if reliability is to be guaranteed (Cohen, et. al., 2000:118).

Training of interviewers, inter-rater reliability of responses, and the extended use of closed questions enhances the reliability of interviews (Silverman, 1993:148). In this research, there was only one interviewer so that inter-rater reliability could undoubtedly be achieved. On the other hand, open-ended questions enable respondents to demonstrate their unique way of looking at the world – their definition of the situation. Use of open-ended questions recognizes that what is a suitable sequence of questions for one respondent may be less suitable for another, and such questions enable important but unanticipated issues to be raised (Silverman, 1993:95). In order to obtain the benefits of both closed and open-ended questions, this research has adopted a semi-structured interview format.

### 3.3 Research Aims and Research Questions

There are three main aims in this research. First, the research aims to explore the problems in implementing the mandatory teacher appraisal scheme in the government and the aided secondary schools. Second, the research aims to examine the perceived effects of Chinese culture on the practice of the mandatory teacher appraisal scheme. Third, the research aims to ascertain the perceived impacts of the mandatory teacher appraisal scheme.

In order to meet the first research aim, to explore the problems experienced in implementing the mandatory teacher appraisal scheme, research questions 1 to 3 were

devised. These are given as follows.

- (1) What are the possible problems experienced in implementing the mandatory teacher appraisal scheme in the government-funded secondary schools? This is to identify the set of problems that need to be explored.
- (2) How do the possible problems prevent the effective implementation of the mandatory teacher appraisal scheme? This is intended to avoid the possibility of implementing ineffective appraisal.
- (3) What are the degrees of significance of these possible problems in the effective implementation of the mandatory teacher appraisal scheme? This is to prioritize the relative significance of the problems and increase the chance of successful implementation of effective appraisal.

In order to meet the second research aim, to explore the effects of Chinese culture on the practice of the mandatory teacher appraisal scheme, research questions 4 and 5 were devised. These are listed below.

- (4) What are the impacts of the four cultural dimensions, namely, high power distance, low uncertainty avoidance, collectivism, neither possessing masculinity nor femininity, on the practice of teacher appraisal scheme? This is to identify the fundamental impacts of the Chinese culture.
- (5) What are the impacts of some Chinese cultural values, namely, concepts of maintaining harmonious relations, face saving, connection, trust and respect for age and seniority, on the processes of appraisal? This is to identify the impacts of Chinese culture more deeply.

Lastly, in order to meet the third research aim, to explore the perceived impacts of the mandatory teacher appraisal scheme on the quality of education, research questions 6 to 10 were devised as follows.

- (6) What are the perceived impacts of implementing the mandatory teacher appraisal scheme on teaching behaviours of teachers? This is to identify teachers' differing teaching behaviours that are most effectively influenced by implementing an appraisal scheme.

- (7) What are the perceived impacts of implementing the teacher appraisal scheme on the appraiser-appraisee relationship, teacher-student relationship, peer relationship, teacher-school relationship and teacher-community relationship?

This is to identify the perceived impacts on various kinds of relationships which might greatly affect the effectiveness of teaching and learning.

- (8) What are the perceived impacts of implementing the mandatory teacher appraisal scheme on teacher knowledge? This is to identify the perceived impacts on teacher knowledge which might greatly affect the teaching capacity of teachers.

- (9) What are the perceived impacts of implementing the teacher appraisal scheme on teacher's attitudes towards teaching? This is to identify the impacts on the teacher's attitudes towards teaching which might greatly affect the effectiveness of teaching and learning.

- (10) What is the perceived importance of the mandatory teacher appraisal scheme in producing the summative outcomes of appraisal? This is to assess the effectiveness of the appraisal scheme as a managerial tool.

### 3.4 Research Instruments

The first aim of the research, the exploration of problems in implementing the teacher appraisal scheme, was to be investigated by the first three research questions. The first research question, the problems experienced in implementing the teacher appraisal scheme, were answered by fourteen questions in the quantitative questionnaire (Appendix D, Part B, Q.1–14) and one question in the semi-structured interview questionnaire (Appendix E, Part B, Q.1). The second research question, how the possible problems prevented the effective implementation of the teacher appraisal scheme, was answered by one question in the semi-structured interview questionnaire (Appendix E, Part B, Q.2). The third research question, the perceived importance of the possible problems, was answered by one question in the semi-structured interview questionnaire (Appendix E, Part B, Q.3).

The second aim of the research, the impacts of Chinese culture on the practice of the teacher appraisal scheme, was answered by research questions 4 and 5. Research question 4, the impacts of the four Chinese cultural dimensions on appraisal processes, was investigated by four questions in the quantitative questionnaire (Appendix D, Part C, Q.15-18) and one question in the semi-structured interview questionnaire (Appendix E, Part C, Q.5). Research question 5, the impacts of some Chinese values on the implementation of the teacher appraisal scheme, was answered by six questions in the quantitative questionnaire

(Appendix D, Part C, Q.19-24) and one question in the semi-structured interview

questionnaire (Appendix E, Part C, Q.6).

The third research aim, the perceived impacts of the teacher appraisal scheme on quality of education, was investigated by research questions 6 to 10. Research question 6, the perceived impacts on teaching behaviours of teachers, was answered by seven questions in the quantitative questionnaire (Appendix D, Part D, Q.25-31) and one question in the semi-structured interview questionnaire (Appendix E, Part D, Q.8). Research question 7, the perceived impacts on relationships, was answered by five questions in the quantitative questionnaire (Appendix D, Part D, Q.32-36) and one question in the semi-structured interview questionnaire (Appendix E, Part D, Q.9). Research question 8, the perceived impacts on teacher knowledge, was tackled by four questions in the quantitative questionnaire (Appendix D, Part D, Q.37-40) and one question in the semi-structured interview questionnaire (Appendix E, Part D, Q.10). Research question 9, the perceived impacts on teacher attitudes, was answered by four questions in the quantitative questionnaire (Appendix E, Part D, Q.41-44) and one question in the semi-structured interview questionnaire (Appendix E, Part D, Q.11). Research question 10, the perceived importance of the appraisal scheme in producing the summative outcomes of appraisal, was measured by eight questions in the quantitative questionnaire (Appendix D, Part D, Q.45-52) and six



questions in the semi-structured interview questionnaire (Appendix E, Part B, Q.12-18).

Table 3.4 lists the operational data sources of the ten research questions.

Table 3.4: Operational data sources of research questions

<div>Research Question</div> <div>Data source</div>	RQ 1	RQ 2	RQ 3	RQ 4	RQ 5	RQ 6	RQ 7	RQ 8	RQ 9	RQ 10
Survey Q 1	✓									
Survey Q 2	✓									
Survey Q 3	✓									
Survey Q 4	✓									
Survey Q 5	✓									
Survey Q 6	✓									
Survey Q 7	✓									
Survey Q 8	✓									
Survey Q 9	✓									
Survey Q 10	✓									
Survey Q 11	✓									
Survey Q 12	✓									
Survey Q 13	✓									
Survey Q 14	✓									
Survey Q 15				✓						
Survey Q 16				✓						
Survey Q 17				✓						
Survey Q 18				✓						
Survey Q 19					✓					
Survey Q 20					✓					
Survey Q 21					✓					
Survey Q 22					✓					
Survey Q 23					✓					
Survey Q 24					✓					
Survey Q 25						✓				
Survey Q 26						✓				

Research Question Data source	RQ 1	RQ 2	RQ 3	RQ 4	RQ 5	RQ 6	RQ 7	RQ 8	RQ 9	RQ 10
Survey Q 27						✓				
Survey Q 28						✓				
Survey Q 29						✓				
Survey Q 30						✓				
Survey Q 31						✓				
Survey Q 32							✓			
Survey Q 33							✓			
Survey Q 34							✓			
Survey Q 35							✓			
Survey Q 36							✓			
Survey Q 37								✓		
Survey Q 38								✓		
Survey Q 39								✓		
Survey Q 40								✓		
Survey Q 41									✓	
Survey Q 42									✓	
Survey Q 43									✓	
Survey Q 44									✓	
Survey Q 45										✓
Survey Q 46										✓
Survey Q 47										✓
Survey Q 48										✓
Survey Q 49										✓
Survey Q 50										✓
Survey Q 51										✓
Survey Q 52										✓
Interview Q 1	✓									
Interview Q 2		✓								
Interview Q 3			✓							
Interview Q 4	(Interview Qs. 4, 7 and 19 were combined.)									
Interview Q 5				✓						
Interview Q 6					✓					
Interview Q 8						✓				
Interview Q 9							✓			

Research Question Data source	RQ 1	RQ 2	RQ 3	RQ 4	RQ 5	RQ 6	RQ 7	RQ 8	RQ 9	RQ 10
Interview Q 10								✓		
Interview Q 11									✓	
Interview Q 12										✓
Interview Q 13										✓
Interview Q 14										✓
Interview Q 15										✓
Interview Q 16										✓
Interview Q 17										✓
Interview Q 18										✓

### 3.5 Sampling

The target population of this research is the teachers teaching in the government-funded secondary schools in Hong Kong. The government-funded secondary schools comprise both government secondary schools and aided secondary schools. On October 2004, there were 37 government secondary schools and 370 aided secondary schools in Hong Kong (EMB, 2004d). Assuming there were 60 teachers in each school, the total target population is about 24420. In order to seek a representative sample of the wider population and to make generalizations, a probability sample is used (Cohen, et. al., 2000:99). When the confidence level is set at 95% and the minimum number of sample teachers exceeds 379, the sample size is sufficiently representative (Cohen, et. al., 2000:94). In this research, ten copies of questionnaires were mailed to all government and aided secondary schools, asking the principal or the delegated teacher to distribute the questionnaires

randomly to 10 of their teachers. A total of 4070 questionnaires were issued. All respondents filling in the quantitative questionnaires were invited to leave their contact details if they were willing to attend a semi-structured face-to-face interview. All teachers leaving their contact details were to be invited to the semi-structured interview up to a ceiling of 80. Otherwise, the teacher sample for the interview was to be selected randomly.

### 3.6 Trial Run of Quantitative Questionnaire

A trial run was carried out with five participants before the pilot test. Feedback was obtained on the wording, format, context and validity of the quantitative questionnaire. They commented that questions in the questionnaires measured or described what they were supposed to measure, that is, the questionnaire was generally valid. Most respondents said the questionnaires were clear and understandable. However, one respondent suggested the meaning of “peer relationship” in question 34 and “community relationship” in question 36 was not specific enough in the quantitative questionnaire. Therefore, question 34 was refined as “peer relationship (relationship among teachers in same school without appraiser-appraisee relationship)” and question 36 was modified as “teacher-community (society) relationship” in the formal test.

### 3.7 Pilot Study

The pilot study of the quantitative questionnaires started on 1 June 2005 and ended on 31 December 2005. This study consisted of two parts, the test and the re-test. In the test, copies of the quantitative questionnaires (quantitative questionnaire set A) were distributed to teachers of 12 government-funded secondary schools by convenience sampling. A total of 70 quantitative questionnaires were distributed and 45 copies were returned. The response rate was about 64.3%. The data obtained was data set A. After one month, all respondents who had returned the test questionnaires (data set A) were invited to take part in the re-test. In the re-test, identical sets of quantitative questionnaires (quantitative questionnaires set B) were sent to the participants. Out of 45 copies sent, 31 copies were returned. The response rate was 68.9%. The data collected constituted data set B.

The reliability of the quantitative questionnaire was examined by two methods, (a) the internal consistency (Cronbach's  $\alpha$ ), and (b) the test-retest reliability. In analyzing the internal consistency of the quantitative questionnaire, the data of the test (data set A) was used. Since part B, part C and part D investigated different aspects of the teacher appraisal scheme, they were treated as discrete groups and their internal consistency was analysed separately. The Cronbach's  $\alpha$  of different parts of the quantitative questionnaire are

summarised in Table 3.7(a). The high values of Cronbach's  $\alpha$  in all parts indicated that the questions in the quantitative questionnaire achieved high internal consistency.

Table 3.7(a) : Cronach's  $\alpha$  of Different Parts of Quantitative Questionnaire

Part	Cronbach's $\alpha$
B (Questions 1 to 14)	0.881
C (Questions 15 to 24)	0.811
D (Questions 25 to 52)	0.932
Questions 25-31	0.831
Questions 32-36	0.754
Questions 37-40	0.881
Questions 41-44	0.801
Questions 45-52	0.852

In examining the test-retest reliability, since the questions showed a high degree of internal consistency, the correlation between the test and the re-test was carried out by grouping related questions as in the internal consistency test. The Pearson correlation between corresponding groups of questions in the test and the re-test were computed. Table 3.7(b) shows the Pearson coefficient and the level of significance. The Pearson correlation showed the test and the re-test were highly correlated and the correlation between all group pairs was significant at the 0.01 level (2-tailed).

Table 3.7(b) Pearson correlation between the test and the re-test questions

Question-Pair	Pearson correlation	Sig. (2-tailed)
AQ(1-14) – BQ(1-14)	.446**	.000
AQ(15-24) – BQ(15-24)	.261**	.000
AQ(25-31) – BQ(25-31)	.511**	.000
AQ(32-36) – BQ(32-36)	.366**	.000
AQ(37-40) – BQ(37-40)	.380**	.000
AQ(41-44) – BQ(41-44)	.451**	.000
AQ(45-52) – BQ(45-52)	.505**	.000
AQ(25-52) – BQ(25-52)	.502**	.000

\*\* Correlation is significant at the 0.01 level (2-tailed).

After the preliminary examination of the results of quantitative questionnaires in August 2006, significant correlations were found between the personal particulars and the views of respondents on the problems perceived, the impacts of Chinese culture and the perceived impacts of the appraisal scheme. Therefore, one question was added in each part (Appendix E, Q.4, Q.7, Q.19) to explore how personal particulars (e.g. sex, teaching experience, number of appraisal cycles experienced, and role in appraisal process) may affect the views of respondents.

### 3.8 Data Collection

#### *Quantitative study*

A total of 4070 questionnaires were sent from 1 March 2006 to 30 April 2006. By 30 June 2006, 324 copies of completed questionnaires, from 86 schools, were returned. The

response rate was about 8.0%. Since the number of completed questionnaires received was less than the minimum sample required, there was the problem of an insufficient sample. There were three choices in dealing with this problem. The first choice was to recruit additional participants from those schools in which gaining access was not a problem. Since 10 participants represented about 20% of the teacher population in any one school, 10 copies of the questionnaire should already be representative of any particular school. Increasing completed questionnaires from these schools could not increase the representativeness of the survey. Therefore, this method was not adopted. The second choice was to pool the returned questionnaires from the pilot study. At first glance, this seemed quite attractive. However, the two studies, the pilot study and the formal study, employed two different sampling methods. The pilot study adopted the convenient sampling method whereas the formal study adopted the probability sampling method. It was suggested that pooling of the data from the pilot study would be acceptable only if one of the following criteria was satisfied. First, the participants' profiles in the pilot study were similar to those in the formal study, that is, the participants were similar in those characteristics that significantly influence their responses, e.g. education level, role in the appraisal cycles, etc. Second, the participants' profiles in the pilot study were similar to the whole population, that is, they were the same as the randomly drawn samples. After examining the participants' characteristics in the pilot study, the participants' profiles were found to be dissimilar to the population as a



whole. Also, the participants' profile in the pilot study differed from the participants' profile in the formal study. The participants in the pilot study were more experienced, with higher qualifications and in higher positions. Therefore, this choice was rejected. The third choice was to do nothing and accept the fact that the sample was insufficient. If nothing was done, using the same confidence level (95%), the confidence interval of the survey would be increased from  $\pm 5.0\%$  to  $\pm 5.4\%$ . The change in confidence interval was considered to be not significant and therefore acceptable. In view of the low sample size, the study would proceed but the interpretation would necessarily be very cautious.

#### *Semi-structured interviews*

The semi-structured interviews were conducted from 1 September 2006 to 31 January 2007. Key points in the semi-structured interview were jotted down as field notes. Conversations were transcribed and sent to the respondents for validation. A total of 22 respondents was interviewed. The actual time of each interview was around half an hour to one hour. Some interviews were longer because the respondents were very responsive and provided rich in-depth information. In the semi-structured interviews, nearly all respondents commented that Q4, Q7 and Q19 in the formal qualitative study (Appendix E) asked the same question. Therefore, these three questions were grouped together and asked as one question.

### 3.9 Analysis of Data

The data from the quantitative questionnaires were analysed by descriptive statistics such as finding frequency and means. T-tests were used to compare the ratings between two groups of teachers such as teachers with or without initial teacher training. Effect size was computed to determine whether the difference between any two groups was important. In addition, one-way ANOVA was used to compare three or more categories of teachers such as position in school and teaching experience. Furthermore, the method principal component analysis was used to reduce number of variables and to extract main factors from the variables.

The information collected in the semi-structured interviews was used to validate that from the quantitative questionnaires. During data analysis, similarities, differences, patterns and items of particular significance were identified (Bell, 1993:127). For example, on the basis of the 20 interview questions, each interview question constitutes one category. All respondents' answers were segmented and categorised into these 20 groups for data analysis. Within each category, based on their responses, common themes were extracted within the same groups of respondents and differences between or among groups of respondents were identified. Furthermore, the trend or pattern of responses derived from the 20 interview questions, between or among different groups of respondents and within the

same group of respondents, was identified and compared. The resulting data will be explained and presented in such a way as to make it accessible to the reader. Verbatim quotations will be used to preserve the meaning.

After analyzing the data, any problems and impact related to the Chinese culture in implementing the teacher appraisal scheme will be identified. In addition, the impact of the teacher appraisal scheme on the quality of education will be assessed.

### 3.10 Limitations of the study

#### *Biased samples*

There was speculation that respondents from the schools participating in the quantitative study had different attitudes to those refusing to participate. Respondent 15 from the non-participating schools explained:

*“Teacher appraisal is rather a sensitive issue, which links with the quality of school management. The principal prefers to avoid it.”*

There is a likelihood that teachers from the participating schools might be more open and proud of their school appraisal scheme. Also, they might be more positive and more

optimistic towards the impacts of the teacher appraisal scheme. Furthermore, the explanations offered by respondents in the qualitative study might not be representative since the sample size was small and the respondents were not representative of the general population, e.g. overweighting of males, with more teaching experience and higher academic qualifications.

### *Problems in semi-structured interviews*

Conducting face-to-face, semi-structured interviews requires a lot of skill. The researcher must be very careful with the words and terms. Although some written guided questions were asked, sometimes it was hard to control the session. This was because the issue discussed was very sensitive and not ready for open discussion. Respondents were inclined to speak quickly in a soft voice when discussing sensitive issues. Sometimes, the researcher could not make a note of what the respondent said. The option of tape-recording was not considered because most respondents had concerns and reservations about the issues of confidentiality and anonymity. At the beginning of the interview, all respondents said that they had read the participant information sheet and understood that information collected in the research would be kept anonymous and strictly confidential. They had signed the consent form to indicate that they agreed to participate in the research. However, at the end of the interviews, most of the respondents urged the researcher to keep their responses

anonymous and not to let their principals know they had participated. In these cases, the researcher would explain to the respondents that the research was operating within Durham University's ethical guidelines. The guidelines include that the researcher must obtain their prior written consent and they are free to withdraw from the project at any time. Also, everything they said would be treated with utmost confidentiality and be made anonymous and under no circumstances would their identities be divulged. Before they left, all respondents expressed that the explanation relieved their worries.

## CHAPTER 4

### DATA ANALYSIS OF QUANTITATIVE QUESTIONNAIRES

#### 4.1 Response rate of the survey

A total of 4070 questionnaires were issued and 324 copies of completed questionnaires, from 86 schools, were returned. The response rate was 8.0%.

#### 4.2 Socio-demographic Characteristics of Respondents

Most of the respondents were very experienced teachers with more than 10 years teaching experience. The respondents were approximately half males and half females. Their appraisal experience was very diverse but more than half of the respondents had experienced less than two appraisal cycles. Most of them had a Bachelors degree or a Masters degree and had received teacher training. The middle managers constituted the greatest proportion of the respondents while the senior managers constituted the least proportion. More than half of the respondents played the dual roles of appraiser and appraisee. The most common main appraisers were the senior manager or the subject panel chairperson. Nearly half of the respondents did not have a secondary appraiser. Also, most of them did not have a reciprocal relationship with their appraiser or appraisee. Please refer to Table 4.2(a) to Table 4.2(j) in Appendix A for details.

### 4.3 Problems in Implementing the Mandatory Teacher Appraisal Scheme

#### *Relative significance of problems*

The significance of the fourteen problems in implementing the mandatory appraisal scheme was ranked in the following descending order:

- (1) Ineffective link to reward system (mean = 1.64)
- (2) Insufficient training, e.g. conflict resolution skills (mean = 1.57)
- (3) Lack of ongoing performance feedback (mean = 1.53)
- (4) Appraiser lacks actual hands-on information on appraisee (mean = 1.46) =
- (4) Lack of focus on development or improvement (mean = 1.46)
- (6) Appraiser lacks rating skills or motivation (mean = 1.40)
- (7) Review process lacks structure and substance (mean = 1.39)
- (8) Not having clearly established performance criteria or not having effective rating instrument (mean = 1.38) =
- (8) Lack of trust and confidence between appraiser and appraisee (mean = 1.38) =
- (8) Insufficient time (mean = 1.38)
- (11) Insufficient human resources (mean = 1.32)
- (12) Over critical or hindsight reviews (mean = 1.31)
- (13) Perceived political reviews (mean = 1.08)
- (14) Insufficient financial resources (mean = 0.90).

Please refer to Tables 4.3(a) to 4.3(n) in Appendix A for details.

### *Responses were not marked randomly*

Chi-square test was applied to examine whether the answers to the fourteen questions were marked randomly. The expected and observed distributions of respondents' choices in the fourteen problems were found statistically significant at 0.05 levels (2 tailed). This indicates that the respondents did not mark their choices randomly. Please refer to Table 4.3(o) in Appendix A for details.

### *Correlation between problems*

The Kendall's tau<sub>b</sub> coefficient ( $\tau$ ), which represents the bivariate correlation between the 14 problems, ranges from 0.194 to 0.623. Statistically, the 14 problems are positively correlated significantly at 0.01 levels (2-tailed). The matrix between the 14 problems generates a total of 91 question pairs. Among the 91 question pairs, none of them are strongly correlated, that is, with a correlation coefficient  $\geq 0.8$ . 27 question pairs are moderately positively correlated, that is, with a correlation coefficient between 0.5 and 0.8. For example, there was a positive relationship between the problem "Insufficient financial resources", and the problem "Insufficient human resources" ( $\tau = .623, p < .01$ ). 42 question pairs are weakly correlated with a correlation coefficient between 0.3 and 0.5. 22 question pairs are not correlated, that is, with a correlation coefficient between  $< 0.3$ . Please refer to Table 4.3(p) and Table 4.3(q) in Appendix A for details.



### *Factor Analysis of problems*

Factors were extracted from the 14 problems by the statistical technique, principal component analysis. Since the value of KMO (Kaiser-Meyer-Olkin) measure of sampling Adequacy is greater than 0.9 and the significance of the Bartlett's Test of Sphericity is less than 0.05, the data are superb for factor analysis. In order to explain 80% of the total variance, six factors (components) were selected to extract from the fourteen problems. Please refer to Table 4.3(r) and Table 4.3(s) in Appendix A for details.

Factor 1 comprises Q9 (Appraiser lacks rating skills or motivation), Q10 (Review process lacks structure and substance), and Q11 (Insufficient training) and accounts for 51.2% of the total variance. Since these questions are related to the capability of appraisers, this factor is termed "incapability of appraiser". Factor 2 comprises Q12 (Insufficient time), Q13 (Insufficient financial resources) and Q14 (Insufficient human resources) and accounts for 11.5% of the total variance. Since these questions are related to various kinds of resources in appraisal, factor 2 is termed "insufficient resources". Factor 3 comprises Q2 (Lack of trust and confidence between appraiser and appraisee), Q5 (Over-critical or hindsight reviews) and Q6 (Perceived political reviews) and accounts for 6.0% of the total variance. Since these questions are related to the subjective perception of appraiser or appraiser, factor 3 is termed "subjective perception of appraiser or appraisee". Factor 4

comprises Q4 (Lack of ongoing performance feedback) and Q7 (Lack of focus on development or improvement) and accounts for 4.6% of the total variance. Since these two questions are concerned with the inability of appraisal scheme for teachers to improve their performances, factor 4 is termed “incapability for teachers’ improvement”. Factor 5 comprises Q1 (Not having clearly established performance criteria or not having effective rating instrument) and Q3 (Appraiser lacks actual hands-on information on appraisee actual performance) and accounts for 3.9% of the total variance. Since these questions are concerned with inaccurate assessment of performance, factor 5 is termed “inaccurate assessment of performance”. Factor 6 comprises Q8 (Ineffective link to reward systems) and accounts for 3.6% of the total variance. Since Q8 is “ineffective link to reward systems”, factor 6 is termed “insufficient link to reward systems”. Please refer to Table 4.3(s) and Table 4.3(t) in Appendix A for details.

In short, in their descending order of relative importance, the fourteen problems are reduced to the six factors, namely, “incapability of appraiser”, “insufficient resources”, “subjective perception of appraiser or appraisee”, “incapability for teachers’ improvement”, “inaccurate assessment of performance”, and “insufficient link to reward systems”.

4.4 Impact of the Dimensions of Chinese Culture on the Appraisal Process

*Relative impact of the four dimensions*

Although the four Chinese cultural dimensions were perceived to produce a negative impact on the appraisal process, the impact of collectivism was neutral. The degree of negative impact was ranked in the following descending order:

- (1) Low uncertainty avoidance (mean = -0.71)
- (2) Neither masculinity nor femininity (mean = -0.64)
- (3) High power distance (mean = -0.46)
- (4) Collectivism (mean = -0.01).

Please refer to Table 4.4(a) to Table 4.4(d) in Appendix A for details.

*Responses were not marked randomly*

Chi-square test was applied to examine whether the answers to Q15 to Q18 were made randomly. The expected and observed distributions of respondents' choices in the four questions were found statistically significant at 0.05 levels (2 tailed). This indicates that the respondents did not mark their choices randomly. Please refer to Table 4.4(e) for details.

### *Correlation between the four dimensions*

There were significant positive relationships between the four dimensions at 0.01 levels (2-tailed). The Kendall's tau<sub>b</sub> coefficient ( $\tau$ ) ranges from 0.217 to 0.383. The matrix of the four questions on cultural dimensions generates a total of six question pairs. Among the six question pairs, none of them are strongly positively correlated, that is, with a correlation coefficient ( $\tau$ )  $\geq 0.8$ . Two question pairs are weakly and positively correlated, that is, with a correlation coefficient between 0.3 and 0.5. That is, there was a positive relationship between the dimension "High power distance", and the dimension "Low uncertainty avoidance" ( $\tau = .383$ ,  $p < .01$ ), and "Collectivism" ( $\tau = .302$ ,  $p < .01$ ). Since the correlation coefficient (absolute value) of other four question pairs is less than 0.3, they are considered as non-correlated. Please refer to Table 4.4(f) in Appendix A for details.

## 4.5 Impact of Some Values of Chinese Culture on the Appraisal Process

### *Relative impact of the six cultural values*

Among the six Chinese cultural values studied, respondents perceived that only the "concept of trust between friends" produced a positive impact (mean = +0.20) on the appraisal process. The emphasis on the "maintenance of harmonious relationships and conflict avoidance" was perceived to produce a neutral impact (mean = -0.05). The other four Chinese cultural values were perceived to produce a negative impact on the appraisal

process. Starting from positive to negative impacts, the six cultural values could be ranked in the following descending order:

- (1) Concept of trust between friends (mean = +0.20)
- (2) Maintenance of harmonious relationships and conflict avoidance (mean = -0.05)
- (3) Respect for age and seniority (mean = -0.26)
- (4) Concept of reciprocation (mean = -0.65)
- (5) Connection and human feelings (mean = -0.90)
- (6) Concept of face saving (mean = -0.98)

Please refer to Table 4.5(a) to Table 4.5(f) in Appendix A for details.

*Responses were not marked randomly*

Chi-square test was applied to examine whether the answers to Q19 to Q24 were made randomly. The expected and observed distributions of respondents' choices in the four questions were found statistically significant at 0.05 levels (2 tailed). This indicates that the respondents did not mark their choices randomly. Please refer to Table 4.5(g) for details.

### *Correlation between the six cultural values*

All the six cultural values were correlated statistically significantly at 0.01 levels (2 tailed). There were positive relationships between them and the Kendall's tau\_b coefficient ( $\tau$ ) ranges from 0.260 to 0.679. The matrix of six cultural values generates a total of 15 question pairs. Among the 15 question pairs, none of them are strongly correlated, that is, with a correlation coefficient ( $\tau$ )  $\geq 0.8$ . Five question pairs are moderately positively correlated, that is, with a correlation coefficient between 0.5 and 0.6. For examples, there was a positive relationship between the cultural value "Concept of face saving", and the cultural value "Connection (*Guanxi*) and human feelings (*Ren Qing*)" ( $\tau = .679$ ,  $p < .01$ ), and between the cultural value "Connection (*Guanxi*) and human feelings (*Ren Qing*)", and the cultural value "Concept of reciprocation" ( $\tau = .606$ ,  $p < .01$ ). Nine question pairs are weakly correlated, that is, with a correlation coefficients between 0.3 and 0.5. One question pair is not correlated, that is, with a correlation coefficient  $< 0.3$ . Please refer to Table 4.5(h) and Table 4.5(i) in Appendix A for details.

### *Factor Analysis of the six cultural values*

Factors were extracted from the six cultural values by the statistical technique, principal component analysis. Since the value of KMO measure of sampling Adequacy is greater than 0.8 and the significance of Bartlett's Test of Sphericity is less than 0.05, the data

are great for factor analysis. In order to explain more than 75% of the total variance, two factors were selected to extract from the six cultural values. Please refer to Table 4.5(j) and Table 4.5(k) in Appendix A for details.

Factor 1 comprises of Q20, Q21, and Q22 and accounts for 62.6% of the total variance. Since these questions are related to practices to secure favours in personal relations, factor 1 is termed “investment in personal relations”. Factor 2 comprises of Q19, Q23 and Q24 and accounts for 15.1% of the total variance. Since these questions are related to practices essential for the establishment and maintenance of stable and orderly society, factor 2 is termed “maintaining orderly society”. Please refer to Table 4.5(k) and Table 4.5(l) in Appendix A for details.

In short, in their descending order of relative importance, the six cultural values are reduced to the two factors, namely, “investment in personal relations”, and “maintaining orderly society”.

#### 4.6 Perceived Impacts of the Appraisal Scheme on Teaching Behaviours

##### Relative impacts on teaching behaviours

The respondents perceived that the appraisal scheme produced a very positive

impact on all aspects of teaching behaviours. No negative impacts were perceived. The degree of positive impact was ranked in the following descending order:

- (1) Quality of classroom management (mean = +1.34)
- (2) Overall teaching effectiveness (mean = +1.33)
- (3) Quality of lesson preparation (mean = + 1.30)
- (4) Instructional skills (mean = +1.28)
- (5) Quality of marking assignments (mean = +1.19)
- (6) Ability to adopt fair and appropriate methods of student assessment  
(mean = +1.11)
- (7) Collaboration among teachers (mean = +0.90)

Please refer to Table 4.6(a) to Table 4.6(g) in Appendix A for details.

#### *Responses were not marked randomly*

Chi-square test was applied to examine whether the answers to Q25 to Q31 were made randomly. The expected and observed distributions of respondents' choices in the four questions were found statistically significant at 0.05 levels (2 tailed). This indicates that the respondents did not mark their choices randomly. Please refer to Table 4.6(h) for details.



### *Correlation between Impacts on Teaching Behaviours*

Statistically, the impacts on teaching behaviours were found positively correlated significantly at 0.01 levels (2 tailed). The value of Kendall's tau\_b coefficient ( $\tau$ ) ranges from 0.414 to 0.748. The matrix of seven questions on the impacts on teaching behaviours generates a total of 21 question pairs. Among the 21 question pairs, none of them are strongly correlated, that is, with a correlation coefficient  $\geq 0.8$ . 17 question pairs are moderately positively correlated, that is, with a correlation coefficient between 0.5 and 0.8. For examples, there was a positive relationship between the impact on the teaching behaviour "Quality of lesson preparation", and the impact on the teaching behaviours "Instructional skills" ( $\tau = .748$ ,  $p < .01$ ), "Quality of classroom management" ( $\tau = .685$ ,  $p < .01$ ), and between the impact on the teaching behaviour "Quality of classroom management", and "Overall teaching effectiveness" ( $\tau = .680$ ,  $p < .01$ ). Four question pairs are weakly correlated, that is, with a correlation coefficient between 0.3 and 0.5. None of the question pairs are non-correlated, that is, with a correlation coefficient  $< 0.3$ . Please refer to Table 4.6(i) and Table 4.6(j) in Appendix A for details.

### *Factor analysis of impact on teaching behaviours*

Factors or components were extracted from the six cultural values by the statistical

technique, principal component analysis. Since the value of the KMO measure of sampling Adequacy is greater than 0.8 and the significance of Bartlett's Test of Sphericity is less than 0.05, the data are great for factor analysis. In order to explain more than 75% of the total variance, two factors were selected to extract from the six cultural values. Please refer to Table 4.6(k) and Table 4.6(l) in Appendix A for details.

Factor 1 comprises of Q25, Q26, and Q27, and accounts for 69.9% of the total variance. Since these questions are related to practices to teacher performance in classroom, factor 1 is termed “classroom performance of teacher”. Factor 2 comprises of Q30, and accounts for 10.1% of the total variance. Since these questions are related to the supporting measures to enhance student learning, factor 2 is termed “supporting measures to enhance student learning”. Please refer to Table 4.6(l) and Table 4.6(m) in Appendix A for details.

In short, in their descending order of relative importance, the six teaching behaviours are reduced to the two factors, namely, “classroom performance of teacher”, and “supporting measures to enhance student learning”.

### *Discriminate analysis of overall teaching effectiveness*

Discriminate analysis was used to find out which of the teaching behaviours specified in Q25 to Q30 are good predictors of overall teaching effectiveness. The responses of participants to Q31, impact on overall teaching effectiveness, were regrouped into three categories. They are negative impact, no impact, and positive impact. Using the Wilks' Lambda as the statistical criterion to add or remove variables from the analysis, three variables, namely, Q26, Q27, Q30, were entered. The discriminant function 1 generated is used in the analysis because it accounts for 99.5% of the total variance. The structure matrix indicates that Q27 and Q26 contributed a lot to the discriminant function 1. Using the discriminant function 1, 81.7% of the group membership was correctly classified. The conclusion is that the two variables, Q27 (quality of classroom management) and Q26 (instructional skills), are good predictors of the impact on teaching behaviours. Please refer to Table 4.6(n) to Table 4.6(r) in Appendix A for details.

#### 4.7 Perceived Impact of Appraisal Scheme on Relationship

##### *Relative impact on Relationship*

The respondents perceived that the appraisal scheme did produce a positive impact on all kinds of relationships. The degree of positive impact was ranked in the following

descending order:

- (1) Teacher-student relationship (mean = +0.72)
- (2) Teacher-school relationship (mean = +0.50)
- (3) Peer relationship (mean = +0.49)
- (4) Appraiser-appraisee relationship (mean = +0.29)
- (5) Teacher-community (society) relationship (mean = +0.21)

Please refer to Table 4.7(a) to Table 4.7(e) in Appendix A for details.

*Responses were not marked randomly*

Chi-square test was applied to examine whether the answers to Q32 to Q36 were made randomly. The expected and observed distributions of respondents' choices in the four questions were found statistically significant at 0.05 levels (2 tailed). This indicates that the respondents did not mark their choices randomly. Please refer to Table 4.7(f) for details.

*Correlation between Impacts on Relationship*

All impacts on relationship were found positively correlated statistically significantly at 0.01 levels (2 tailed). The value of Kendall's tau<sub>b</sub> coefficients ranges from

0.447 to 0.678. The matrix of questions on impacts on relationship generates a total of 10 question pairs. Among the 10 question pairs, none of them are strongly correlated, that is, with a correlation coefficient  $\geq 0.8$ . Six question pairs are moderately positively correlated, that is, with a correlation coefficient between 0.5 and 0.8. For examples, there was a positive relationship between the impact on “Peers relationship”, and the impact on “Teacher-School relationship” ( $\tau = .678$ ,  $p < .01$ ), between the impact on “Teacher-Student relationship”, and the impact on “Peers relationship” ( $\tau = .646$ ,  $p < .01$ ), and between the impact on “Appraiser-Appraisee relationship”, and the impact on “Peers relationship” ( $\tau = .631$ ,  $p < .01$ ). Please refer to Table 4.7(g) in Appendix A for details.

#### *Factor Analysis of Impacts on Relationship*

Factors were extracted from the five impacts on relationship by the statistical technique, principal component analysis. Since the value of the KMO measure of sampling Adequacy is greater than 0.8 and the significance of the Bartlett’s Test of Sphericity is less than 0.05, the data are great for factor analysis. In order to explain more than 80.0% of the total variance, two factors were selected to extract from the five impacts on relationship. Please refer to Table 4.7(h) and Table 4.7(i) in Appendix A for details.

Factor 1 comprises of Q32, Q34, and Q35, and accounts for 70.4% of the total variance. Since these questions are related to the relationship between parties directly involved in appraisal, factor 1 is termed “relationship between directly involved parties”. Factor 2 comprises of Q36, and accounts for 10.8% of the total variance. Since the question is related to the teacher-community relationship, which is not directly involved in the appraisal process, factor 2 is termed “relationship between indirectly involved parties”. Please refer to Table 4.7(i) and Table 4.7(j) in Appendix A for details.

In short, in their descending order of relative importance, the five impacts on relationships are reduced to the two factors, namely, “relationship between directly involved parties”, and “relationship between indirectly involved parties”.

#### 4.8 Perceived Impact of appraisal scheme on teacher knowledge

##### *Relative impact on teacher knowledge*

The respondents perceived that the appraisal scheme did produce a large positive impact on all aspects of teacher knowledge. The degree of positive impact was ranked in the following descending order:

- (1) Understanding of personal strengths and weaknesses (mean = +1.51)
- (2) Understanding of teaching-learning process (mean = + 1.32)
- (3) Understanding of subject knowledge (mean = +1.23)
- (4) Knowing direction for professional development (mean = +1.29)

Please refer to Table 4.8(a) to Table 4.8(d) in Appendix A for details.

#### *Responses were not marked randomly*

Chi-square test was applied to examine whether the answers to Q37 to Q40 were made randomly. The expected and observed distributions of respondents' choices in the four questions were found statistically significant at 0.05 levels (2 tailed). This indicates that the respondents did not mark their choices randomly. Please refer to Table 4.8(e) for details.

#### *Correlation between Impacts on teacher knowledge*

All the impacts on teacher knowledge were found correlated statistically significantly at 0.01 levels (2 tailed). The value of all Kendall's tau<sub>b</sub> coefficients ( $\tau$ ) ranges from 0.568 to 0.772. The matrix between four questions on impacts on teacher knowledge generates a total of six question pairs. Among the six question pairs, none of them are strongly correlated, weakly correlated or non-correlated. All question pairs are

moderately positively correlated, that is, with a correlation coefficient between 0.5 and 0.8. For examples, there was a positive relationship between the impact on “Understanding of subject knowledge”, and the impact on “Understanding of teaching-learning process” ( $\tau = .772, p < .01$ ), between the impact on “Understanding of teaching-learning process”, and the impact on “Knowing direction for professional development” ( $\tau = .772, p < .01$ ), and between the impact on “Understanding of personal strengths and weaknesses”, and the impact on “Knowing direction for professional development” ( $\tau = .687, p < .01$ ). Please refer to Table 4.8(f) in Appendix A for details.

#### *Factor Analysis of Impacts on Teacher Knowledge*

Factors were extracted from the four impacts on teacher knowledge by the statistical technique, principal component analysis. Since the value of the KMO measure of sampling Adequacy is greater than 0.8 and the significance of the Bartlett's Test of Sphericity is less than 0.05, the data are fine for factor analysis. In order to explain more than 90.0% of the total variance, two factors were selected to extract from the four impacts on teacher knowledge. Please refer to Table 4.8(g) and Table 4.8(h) in Appendix A for details.

Factor 1 comprises of Q37 and Q38, and accounts for 81.2% of the total variance. Since these questions are related to the teacher knowledge applicable in the



classroom, factor 1 is termed “knowledge for classroom performance”. Factor 2 comprises of Q39 and Q40, and accounts for 9.9% of the total variance. Since these questions are related to the understanding of teachers themselves, factor 2 is termed “knowledge for teacher self-understanding”. Please refer to Table 4.8(h) and Table 4.8(i) in Appendix A for details.

In short, in their descending order of relative importance, the four impacts on teacher knowledge are reduced to the two factors, namely, “knowledge for classroom performance”, and “knowledge for teacher self-understanding”.

#### *Discriminate analysis of direction for professional development*

Discriminate analysis was used to find out which of the aspect of the teacher knowledge specified in Q37 to Q39 would be good predictors to the direction of professional development. The responses of respondents to Q37 to Q39, impact on teacher knowledge, were regrouped into three categories. They are negative impact, no impact, and positive impact. Using the Wilks’ Lambda as the statistical criterion to add or remove variables from the analysis, two variables, namely, Q38, Q39, were entered. The discriminant function 1 generated is used in the analysis because it accounts for 99.5% of the total variance. The structure matrix indicates that Q38 and Q39 contributed a lot to the

discriminant function 1. Using the discriminant function 1, 74.3% of the group membership was correctly classified. The conclusion is that the two variables, Q39 (understanding of personal strengths and weaknesses) and Q38 (understanding of teaching-learning process), are good predictors of the impact on knowing direction for professional development. Please refer to Table 4.8(j) to Table 4.8(n) in Appendix A for details.

#### 4.9 Perceived Impact of Appraisal Scheme on teacher attitudes

##### *Relative impact on teacher attitudes*

The respondents perceived that the appraisal scheme did produce a positive impact on the four aspects of teacher attitude. The degree of positive impact was ranked in the following descending order:

- (1) Reflection on teaching (mean = +1.43)
- (2) Openness to criticism (mean = +1.15)
- (3) Enthusiasm about teaching (mean = +1.05)
- (4) Teacher morale (mean = +0.74)

Please refer to Table 4.9(a) to Table 4.9(d) in Appendix A for details.

### *Responses were not marked randomly*

Chi-square test was applied to examine whether the answers to Q41 to Q44 were made randomly. The expected and observed distributions of respondents' choices in the four questions were found statistically significant at 0.05 levels (2 tailed). This indicates that the respondents did not mark their choices randomly. Please refer to Table 4.9(e) for details.

### *Correlation between Impacts on teacher attitudes*

All the impacts on teacher attitudes are correlated statistically significantly at 0.01 levels (2 tailed). The value of Kendall's tau\_b coefficients ( $\tau$ ) ranges from 0.439 to 0.703. The matrix of questions on impacts on teacher attitudes generates a total of six question pairs. None of the six question pairs are strongly correlated, that is, with a correlation coefficient  $\geq 0.8$ . Four question pairs are moderately positively correlated, that is, with a correlation coefficient between 0.5 and 0.8. For examples, there was a positive relationship between the impact on "Enthusiasm about teaching", and the impact on "Teacher morale" ( $\tau = .703$ ,  $p < .01$ ), between the impact on "Reflection on teaching", and the impact on "Openness to criticism" ( $\tau = .647$ ,  $p < .01$ ). Two question pairs are weakly correlated, that is, with a correlation between 0.3 and 0.5. None of the question pairs are non-correlated, that is, with

a correlation coefficient  $< 0.3$ . Please refer to Table 4.9(f) and Table 4.9(g) in Appendix A for details.

*Factor Analysis of Impacts on Teacher Attitudes*

Factors were extracted from the four impacts on teacher attitudes by the statistical technique, principal component analysis. Since the value of the KMO measure of sampling Adequacy is greater than 0.7 and the significance of the Bartlett's Test of Sphericity is less than 0.05, the data are good for factor analysis. In order to explain more than 85.0% of the total variance, two factors were selected to extract from the four impacts on teacher attitudes. Please refer to Table 4.9(h) and Table 4.9(i) in Appendix A for details.

Factor 1 comprises of Q41 and Q42, and accounts for 73.9% of the total variance. Since these questions are related to reflection on teaching, and openness to criticism, factor 1 is termed “acceptance for evaluation”. Factor 2 comprises of Q43 and Q44, and accounts for 14.4% of the total variance. Since these questions are related to teacher enthusiasm and teacher morale, factor 2 is termed “motive to strive for excellence”. Please refer to Table 4.9(i) and Table 4.9(j) in Appendix A for details.

In short, in their descending order of relative importance, the four impacts on teacher attitudes are reduced to the two factors, namely, “acceptance for evaluation”, and “motive to strive for excellence”.

4.10 Perceived Impact on summative outcomes of appraisal

*Relative impact on summative outcomes*

The respondents perceived that the appraisal scheme did produce a positive impact on all aspects of the summative outcomes of appraisal. The degree of positive impact was ranked in the following descending order:

- (1) Improve school accountability (mean = +1.11)
- (2) Improve student learning outcomes (mean = +1.10)
- (3) Enhance short-term school development and improvement (mean = +1.04)
- (4) Enhance long-term school development and improvement (mean = +1.03)
- (5) Give fair and accurate assessment of teacher performance (mean = +1.02)
- (6) Improve fairness of staff promotion (mean = +0.94)
- (7) Make sound managerial decisions (mean = +0.81)
- (8) Eliminate incompetent teachers (mean = +0.46)

Please refer to Table 4.10(a) to Table 4.10(h) in Appendix A for details.

### *Responses were not marked randomly*

Chi-square test was applied to examine whether the answers to Q45 to Q52 were made randomly. The expected and observed distributions of respondents' choices in the four questions were found statistically significant at 0.05 levels (2 tailed). This indicates that the respondents did not mark their choices randomly. Please refer to Table 4.10(i) for details.

### *Correlation between impacts on summative outcomes*

The impacts on summative outcomes are correlated statistically significantly at 0.01 levels (2 tailed). The value of Kendall's tau\_b coefficients ranges from 0.330 to 0.731. The matrix of questions on impacts on summative outcomes generates a total of 28 question pairs. Among the 28 question pairs, none of them are strongly correlated, that is, with a correlation coefficient  $\geq 0.8$ . 18 question pairs are moderately positively correlated, that is, with a correlation coefficient between 0.5 and 0.8. For examples, there was a positive relationship between the impact on the summative outcome "Enhance short-term school development and improvement", and the the impact on the summative outcome "Enhance long-term school development and improvement" ( $\tau = .731$ ,  $p < .01$ ), between the impact on the summative outcome "Improve school accountability", and the impact on the summative outcome "Enhance short-term school development and improvement" ( $\tau = .649$ ,  $p < .01$ ), and

“Enhance long-term school development and improvement” ( $\tau = .604, p < .01$ ). Ten question pairs are weakly correlated, that is, with a correlation coefficient between 0.3 and 0.5. None of the question pairs are non-correlated, that is, with a correlation coefficient  $< 0.3$ . Please refer to Table 4.10(j) and Table 4.10(k) in Appendix A for details.

### *Factor Analysis of Impacts on Summative Outcomes*

Factors were extracted from the impacts on the eight summative outcomes by the statistical technique, principal component analysis. Since the value of the KMO measure of sampling Adequacy is greater than 0.9 and the significance of the Bartlett's Test of Sphericity is less than 0.05, the data are superb for factor analysis. In order to explain more than 70.0% of the total variance, two factors were selected to extract from the impacts on summative outcomes. Please refer to Table 4.10(l) and Table 4.10(m) in Appendix A for details.

Factor 1 comprises of Q49, Q51 and Q52, and accounts for 63.8% of the total variance. Since these questions are related to improvement of student learning outcomes and enhancement of school development and improvement, factor 1 is termed “enhancement of student outcomes and school development”. Factor 2 comprises of Q46 and Q47, and accounts for 10.6% of the total variance. Since these questions are

related to sound personnel decisions such as elimination of incompetent teachers, factor 2 is termed “sound personnel decisions”. Please refer to Table 4.10(m) and Table 4.10(n) in Appendix A for details.

In short, in their descending order of relative importance, the eight impacts on summative outcomes are reduced to the two factors, namely, “enhancement of student outcomes and school development”, and “sound personnel decisions”.

#### 4.11 Differences in responses between male and female respondents

The responses of males and females differed significantly at  $\alpha < 0.05$  at 95% confidence level to the 14 questions, that is, questions Q13, Q21, Q25-Q29, Q31, Q37-Q41 and Q43. However, since the value of effect size of the questions is smaller than 0.3, the difference is considered as small. The mean response of females was usually more positive on the positive impacts of appraisal scheme or more negative on the negative impacts of appraisal scheme than that of males. With respect to the problems in implementing the mandatory teacher appraisal scheme, the females considered insufficient financial resources as a more serious problem than the males. With reference to the impact of the Chinese culture, the females perceived a more negative impact caused by connection (*Guanxi*) and human feelings (*Ren Qing*). With regard to the perceived impacts of implementing the



appraisal scheme, the females perceived greater positive impacts on “Quality of lesson preparation”, “Instructional skills”, “Quality of classroom management”, “Quality of marking assignments”, “Ability to adopt fair and appropriate methods of student assessment”, “Overall teaching effectiveness”, “Understanding of subject knowledge”, “Understanding of teaching-learning process”, “Understanding of personal strengths and weaknesses”, “Knowing direction for professional development”, “Reflection on teaching”, and “Enthusiasm about teaching” than the males. Please refer to Table 4.11(a) and Table 4.11(b) in Appendix A for details.

#### 4.12 Differences in responses between respondents with different teaching experience

The responses of teachers with different teaching experience differed significantly in questions Q8, Q11 and Q13 at  $\alpha < 0.05$  at 95% confidence level. However, since the value of effect size of the three questions is smaller than 0.3, the difference is considered as small. The more experienced the teachers, the more seriously they considered the problems “Ineffective link to reward system”, “Insufficient training”, and “Insufficient financial resources” were. The seriousness of the problems reached a peak for teachers with 16-20 years of teaching experience. It then declined for teachers with more than 20 years of teaching experience. Please refer to Table 4.12(a) and Table 4.12(b) in Appendix A for details.

#### 4.13 Differences in responses between respondents experiencing different number of appraisal cycles

The responses of teachers with different numbers of appraisal cycles experienced differed significantly in questions Q14, Q16 and Q20 at  $\alpha < 0.05$  at 95% confidence level. However, since the value of effect size of the three questions is smaller than 0.3, the difference is considered as small. The seriousness of the problem “insufficient human resources” perceived by the respondents decreased with an increase in the number of appraisal cycles experienced. With reference to the cultural dimension “low uncertainty avoidance”, the negative impact perceived by the respondents decreased with an increase in the number of appraisal cycles experienced. With regard to the cultural dimension “masculinity”, the negative impact perceived by the respondents showed an initial increase with an increase in the number of appraisal cycles experienced. Teachers who had experienced 4-6 appraisal cycles reported the most negative impact. The negative impact perceived then dropped sharply for teachers who had experienced 7-9 appraisal cycles. It then increased again for teachers who had experienced more than nine appraisal cycles. Please refer to Table 4.13(a) and Table 4.13(b) in Appendix A for details.

#### 4.14 Differences in responses between respondents with different academic qualifications

Respondents with different academic qualifications differed in their responses to Q23 (concept of trust between friends) at  $\alpha < .05$  at 95% confidence level. However,

since the value of effect size of the question is smaller than 0.3, the difference is considered as small. All respondents except the one with a Doctorate degree perceived that the concept of trust between friends produced a positive impact on the implementation of appraisal. The non-degree holders perceived the greatest impact (mean = +1.21) while the respondents with Bachelors degrees perceived the least positive impact (mean = +0.10). The respondents with Masters degrees perceived that the concept of trust between friends produced a moderately positive impact (mean = +0.24). Please refer to Table 4.14(a) and Table 4.14(b) in Appendix A for details.

#### 4.15 Differences in responses between respondents with teacher training and those without teacher training

The responses of teachers with teacher training differed significantly to those without teacher training in questions Q31, Q38 and Q42 at  $\alpha < 0.05$  at 95% confidence level. However, since the value of effect size of the question is smaller than 0.3, the difference is considered as small. Respondents with teacher training perceived that the implementation of the appraisal scheme generated a greater positive impact in “Overall teaching effectiveness” and “Understanding of teaching-learning process” than respondents without teacher training. Also, respondents with teacher training reflected that the implementation of the appraisal scheme produced a negative impact on the teacher attitude “Openness to criticism”. On the contrary, respondents without teacher training reflected

that the impact on “Openness to criticism” was neutral. Please refer to Table 4.15(a) and Table 15(b) in Appendix A for details.

#### 4.16 Differences in responses between respondents with different major responsibilities

The responses of the respondents with different major responsibilities differed significantly to questions Q11, Q47 and Q50 at  $\alpha < .05$  at 95% confidence level. Since the value of effect size of the questions is smaller than 0.3, the difference is considered as small. With reference to insufficient training as a problem in implementing the mandatory appraisal scheme, middle managers perceived it as the most significant problem while class teachers rated it as the least significant problem among the three groups of respondents. With regard to the impact on summative outcomes, the higher the responsibility of the respondents, the greater the positive impact. Senior managers considered that the implementation of the mandatory appraisal scheme produced the greatest positive impact on making sound managerial decisions and improving school accountability among the three groups of respondents. On the contrary, class teachers considered that the positive impact was the least among the three groups of the respondents. Please refer to Table 4.16(a) and Table 4.16(b) in Appendix A for details.

#### 4.17 Differences in responses between respondents with different roles in appraisal process

Responses of respondents with different roles in the appraisal process differed significantly for questions Q11, Q20, Q25-Q29, Q31, Q38-Q42, Q47-Q48, and Q50-Q52 at  $\alpha < .05$  at 95% confidence level. Since the value of effect size of the questions is smaller than 0.3, the difference is considered as small. With reference to the problems in implementing the mandatory appraisal scheme, the respondents playing the role of appraiser only perceived “Insufficient training” as the greatest difficulty among the three groups of respondents while those respondents playing the role of appraisee only perceived “Insufficient training” as the least difficulty. The respondents playing the dual roles of appraiser and appraisee reflected it as being of median difficulty. With regard to the impact of the Chinese culture, the respondents playing the dual roles of appraiser and appraisee considered the “concept of face saving” as generating the greatest negative impact on the appraisal process among the three groups of respondents while the respondents playing the role of appraisee only suggested the “Concept of face saving” as generating the least impact on the appraisal process.

With reference to the impact on teaching behaviours, the respondents playing the dual roles of appraiser and appraisee considered that implementing the mandatory appraisal scheme produced the greatest positive impact on “Quality of lesson preparation”,

“Instructional skills”, “Quality of classroom management”, “Quality of marking assignments”, “Ability to adopt fair and appropriate methods of student assessment” and “Overall teaching effectiveness”. On the contrary, the respondents playing only the role of appraiser suggested that implementing the mandatory appraisal scheme produced the smallest positive impact on the same aspects of teaching behaviours. With reference to the impact on teacher knowledge, the respondents playing the dual roles of appraiser and appraisee considered that implementing the mandatory appraisal scheme produced the greatest positive impact on “Understanding of teaching-learning process”, “Understanding of personal strengths and weaknesses” and “Knowing direction for professional development”. On the contrary, the respondents playing only the role of appraiser suggested that implementing the mandatory appraisal scheme produced the smallest positive impact on the same aspects of teacher knowledge. With reference to the impact on teacher attitudes, the respondents playing the dual roles of appraiser and appraisee considered that implementing the mandatory appraisal scheme produced the greatest positive impact on “Reflection on teaching” and “Openness to criticism”. On the contrary, the respondents playing only the role of appraiser suggested that implementing the mandatory appraisal scheme produced the smallest positive impact on the same aspects of teacher attitude.

With reference to the impact on the summative outcomes of appraisal, the respondents playing only the role of appraiser considered that implementing the mandatory appraisal scheme produced the greatest positive impact on “Making sound managerial decisions” while the respondents playing only the role of appraisee suggested that implementing the mandatory appraisal scheme produced the smallest positive impact. Also, the respondents playing the dual roles of appraiser and appraisee regarded implementing the mandatory appraisal scheme as producing the greatest positive impact on “Fairness of staff promotion” while the respondents playing only the role of appraisee suggested that implementing the mandatory appraisal scheme produced the smallest positive impact. Furthermore, the respondents playing the dual roles of appraiser and appraisee considered that implementing the mandatory appraisal scheme produced the greatest positive impact on “Improve school accountability”, “Enhance short-term school development and improvement” and “Enhance long-term school development and improvement” while the respondents playing only the role of appraiser suggested that implementing the mandatory appraisal scheme produced the smallest positive impact on same aspects of summative outcomes. Please refer to Table 4.17(a) and Table 4.17(b) in Appendix A for details.

#### 4.18 Differences in responses between respondents with different primary appraiser

Responses of respondents with a different primary appraiser differed significantly

in questions Q31, Q47, Q48, and Q51 at  $\alpha < .05$  at 95% confidence level. Since the value of effect size of the questions is smaller than 0.3, the difference is considered as small. With reference to the impact on “Overall teaching effectiveness”, the respondents with peers or others such as the academic secretary of the sponsoring body or members from the IMC (incorporated management committee) as their primary appraiser reflected the greatest positive impact. Those respondents with senior managers such as the principal or the vice-principal reported the second largest positive impact and the respondents with a subject panel chairperson as their primary appraiser came third in terms of positive impact. In addition, the respondents with committee heads as their primary appraiser perceived the least positive impact on “Overall teaching effectiveness”. With regard to the impact on “Making sound managerial decisions”, “Fairness on staff promotion” and “Enhance short-term school development and improvement”, the respondents with others such as the academic secretary of the sponsoring body or members from the IMC (incorporated management committee) as their primary appraiser reported the greatest positive impact. This was followed by the respondents with senior managers such as the principal or the vice-principal as their primary appraiser. Respondents with a subject panel chairperson, peers or committee heads reported the least positive impact on these three aspects of summative outcomes. Please refer to Table 4.18(a) and Table 4.18(b) in Appendix A for details.



#### 4.19 Differences in responses between respondents with different secondary appraiser

Responses of respondents with a different secondary appraiser differed significantly in questions Q1, Q4, Q8 and Q11 at  $\alpha < .05$  at 95% confidence level. Since the value of effect size of the questions is smaller than 0.3, the difference is considered as small. Among all respondents, those with peers as their secondary appraiser experienced the most difficulty in “Not having clearly established performance criteria or not having effective rating instrument”, “Lack of ongoing performance feedback” and “Ineffective link to reward systems”. Those respondents with the vice-principal or the subject panel chairperson as their secondary appraiser, and then respondents with the principal or the committee heads as their secondary appraiser followed this. With reference to the problem “Insufficient training”, among all respondents, the respondents with peers as their secondary appraiser experienced this as the most difficult one. The respondents with the subject panel chairperson as their secondary appraiser, the respondents with the vice-principal as their secondary appraiser, and the respondents with the principal and the committee heads as their secondary appraiser then followed. Please refer to Table 4.19(a) and Table 4.19(b) in Appendix A for details.

#### 4.20 Differences in responses between respondents with reciprocal relationship and those without reciprocal relationship to their appraisers

Responses of respondents with reciprocal relationship differed significantly in question Q24 at  $\alpha < .05$  at 95% confidence level. Since the value of effect size of the question is smaller than 0.3, the difference is considered as small. The respondents with a reciprocal relationship perceived a greater negative impact on “Respect for age and seniority” than those respondents without a reciprocal relationship. Please refer to Table 4.20(a) and Table 4.20(b) in Appendix A for details.

## CHAPTER 5

### FINDINGS FROM SEMI-STRUCTURED INTERVIEWS

#### 5.1 Ways to analyse the data

In analyzing the data obtained from the semi-structured interviews, firstly the socio-demographic characteristics of the respondents were categorized in one group. This forms section 5.2. Then, the data were categorized and analyzed according to the ten research questions (please refer to Chapter 3, Section 3.3). The research findings from questions 1 and 2 are combined under the heading, “Problems perceived and reasons for perceiving these as problems” and are in section 5.3. The findings of the other research questions are presented under their own headings, in sections 5.4 to 5.11. In the next phase of data analysis, the findings on “socio-demographic factors affecting views of respondents towards appraisal” from different sections are combined and form their own category. As mentioned earlier, in section 3.8, the respondents suggested that the questions were the same although they had been put under different sections of the questionnaire. Hence, the findings on “socio-demographic factors affecting views of respondents” are in section 5.12. In the last phase of data analysis, the data were analyzed to see whether there were differences between different socio-demographic groups. It was found that there were six socio-demographic characteristics which might cause differences between groups. They were sex, teaching experience, the number of appraisal cycles experienced, academic qualifications, major responsibilities in schools, and role in the appraisal process. The findings on differences between groups are presented under their appropriate headings in sections 5.13 to 5.18. Finally, the data were interpreted under the two theoretical constructs, namely, face saving (*mianzi*), and connection (*guanxi*). These interpretations were put under sections 5.19 to 5.20. Table 5.1 summarise the headings of the sections.

Table 5.1: Heading of different sections

Section	Heading
5.1	Ways to analyse the data
5.2	Socio-demographic characteristics of respondents
5.3	Problems experienced and reasons for perceiving these as problems
5.4	Perceived importance of problems and the explanations
5.5	Impacts of the four Chinese cultural dimensions on the appraisal process
5.6	Impacts of some Chinese values on the appraisal process
5.7	Perceived impacts on teaching behaviours
5.8	Perceived impact of the appraisal scheme on relationships
5.9	Perceived impact on teacher knowledge
5.10	Perceived impact on teacher attitudes
5.11	Perceived impact on summative outcomes of appraisal
5.12	Socio-demographic characteristics affecting views on appraisal
5.13	Differences between respondents with different sexes
5.14	Differences between respondents with different teaching experience
5.15	Differences between respondents experiencing different number of appraisal cycles
5.16	Differences between respondents with different academic qualifications
5.17	Differences between respondents with different major responsibilities in schools
5.18	Differences between respondents with different roles in the appraisal process
5.19	Data interpretation under the construct of face saving (“ <i>mianzi</i> ”)
5.20	Data interpretation under the construct of connection (“ <i>guanxi</i> ”)

5.2 Socio-demographic Characteristics of Respondents

In the qualitative part of the research, 22 respondents were interviewed. These respondents came from 13 schools.

*Sex of respondents*

As is shown in Table 5.2(a), the majority of the respondents were males (86.4%) and less than one-fifth (13.6%) comprised females. Please refer to Table 5.2(a).

Table 5.2(a): Sex of respondents (Qualitative Study)

Sex	Respondents in Interviews	
	Number	Percentage
Male	19	86.4 %
Female	3	13.6 %
Total	22	100.0 %

*Teaching experience of respondents*

The respondents had a very wide range of teaching experience, as indicated in Table 5.2(b), ranging from 6 to more than 20 years. On average they were very experienced teachers with teaching experience of 19.6 years. Also, more than two-thirds (68.2%) of the respondents had more than 20 years of teaching experience. Please refer to Table 5.2(b).

Table 5.2(b): Teaching experience of respondents (Qualitative Study)

<i>Teaching experience</i>	<i>Respondents in Interviews</i>	
	<i>Number</i>	<i>Percentage</i>
1-5 years	0	0.0 %
6-10 years	2	9.1 %
11-15 years	4	18.2 %
16-20 years	1	4.5 %
> 20 years	15	68.2 %
Missing	0	0.0 %
Total	22	100.0 %
Mean	19.6 years	
Median	19.3 years	

*Number of appraisal cycles experienced by respondents*

From Table 5.2(c) we can see that approximately four-fifths (81.8%) of the respondents had experienced less than 7 appraisal cycles and nearly half (45.5%) of the respondents had experienced 4-6 appraisal cycles. The average number of appraisal cycles experienced by the respondents was 4.5 appraisal cycles.

Table 5.2(c): Number of appraisal cycles experienced in present school (Qualitative Study)

Number of appraisal cycles experienced	Respondents in Interviews	
	Number	Percentage
0	1	4.5 %
1-3	7	31.8 %
4-6	10	45.5 %
7-9	2	9.1 %
> 9	2	9.1 %
Missing	0	0.0 %
Total	22	100.0 %
Mean	4.5 cycles	
Median	3.1 cycles	

Academic qualification of respondents

There were no non-degree holders among the respondents. Nearly two-thirds (59.1%) of the respondents owned a Bachelors degree and more than one-third (36.4%) of the respondents held a Masters degree. There was one respondent who had a Doctorate degree. This is evidenced in Table 5.2 (d) below.

Table 5.2(d): Academic qualifications of respondents (Qualitative Study)

Academic qualification	Respondents in Interviews	
	Number	Percentage
Non-degree holder	0	0.0 %
Bachelors degree	13	59.1 %
Masters degree	8	36.4 %
Doctorate degree	1	4.5 %
Total	22	100.0 %

Teacher training of respondents

All respondents had received teacher training. Please refer to Table 5.2(e).

Table 5.2(e) Teacher training of respondents (Qualitative Study)

<i>Teacher training</i>	<i>Respondents in Interviews</i>	
	<i>Number</i>	<i>Percentage</i>
With teacher training	22	100.0 %
Without teacher training	0	0.0 %
Total	22	100.0 %

*Major responsibility of respondents*

Approximately two-thirds (63.6%) of the respondents were middle managers and slightly more than one-quarter (27.3%) of the respondents were class teachers. The senior managers comprised about one-tenth (9.1%) of the respondents. Please refer to Table 5.2(f).

Table 5.2(f) Major responsibility of respondents (Qualitative Study)

<i>Major responsibility</i>	<i>Respondents in Interviews</i>	
	<i>Number</i>	<i>Percentage</i>
Class teacher	6	27.3 %
Middle manager	14	63.6%
Senior management	2	9.1 %
Total	22	100.0 %

*Role of respondents in appraisal process*

More than half (59.1%) of the respondents played the “dual roles of appraiser and appraisee”. Approximately one-quarter (27.3%) of the respondents acted as “appraisee only”. Less than one-fifth (13.6%) of the respondents acted as “appraiser only”. Please refer to Table 5.2(g).

Table 5.2(g) Role of respondents in appraisal process (Qualitative Study)

<i>Role in appraisal process</i>	<i>Respondents in Interviews</i>	
	<i>Number</i>	<i>Percentage</i>
Appraisee only	6	27.3 %
Appraiser only	3	13.6 %
Dual roles of appraiser and appraisee	13	59.1 %
Missing	0.0 %	0.0 %
Total	22	100.0 %

### *Main appraiser of respondents*

The main appraiser of the respondents came from a very diverse group of people, including the academic secretary of a sponsoring body, principal, vice-principal, subject panel chairperson, committee head and peers. More than one-third (40.9%) of the respondents had the subject panel chairperson as their main appraiser and nearly one-third (31.8%) of the respondents had the senior manager, the principal (27.3%) or the vice-principal (4.5%), as their main appraiser. Less than one-fifth (18.2%) of the respondents had a committee head as their main appraiser and a peer appraised only one respondent. Please refer to Table 5.2(h).

Table 5.2(h) Main appraiser of respondents (Qualitative Study)

<i>Main appraiser</i>	<i>Respondents in Interviews</i>	
	<i>Number</i>	<i>Percentage</i>
Principal	6	27.3 %
Vice-principal	1	4.5 %
Subject panel chairperson	9	40.9 %
Committee head	4	18.2 %
Peers	1	4.5 %
Others	1	4.5 %
Total	22	100.0 %



*Secondary appraiser of respondents*

Nearly two-thirds (63.6%) of the respondents did not have secondary appraisers.

No respondents had the principal or a peer as their secondary appraiser and only one respondent had the subject panel chairperson as their secondary appraiser. However, nearly one-fifth (18.2%) of the respondents had the vice-principal as their secondary appraiser and more than one-tenth (13.6%) of the respondents had the committee head as their secondary appraiser. Please refer to Table 5.2(i).

Table 5.2(i) Secondary appraiser of respondents (Qualitative Study)

<i>Secondary appraiser</i>	<i>Respondents in Interviews</i>	
	<i>Number</i>	<i>Percentage</i>
Principal	0	0.0 %
Vice-principal	4	18.2 %
Subject panel chairperson	1	4.5 %
Committee head	3	13.6 %
Peers	0	0.0 %
Others	0	0.0 %
Nil	14	63.6 %
Total	22	100.0 %

*Reciprocal relationship between appraiser and appraisee*

Nearly one-quarter (22.7%) of the respondents reflected that there was a reciprocal relationship between appraiser and appraisee. However, approximately three-quarters (77.3%) of the respondents reflected that there was no such reciprocal relationship between appraiser and appraisee. Please refer to Table 5.2(j).

Table 5.2(j) Reciprocal relationship between appraiser and appraisee (Qualitative Study)

<i>Reciprocal relationship between appraiser and appraisee</i>	<i>Respondents in Interviews</i>	
	<i>Number</i>	<i>Percentage</i>
Yes	5	22.7 %
No	17	77.3 %
Missing	0	0.0 %
Total	22	100.0 %

Summary of the socio-demographic characteristics of the respondents

Most of the respondents were males. The respondents consisted of very experienced teachers with an average teaching experience of about 20 years. They had experienced an average number of 4.5 appraisal cycles in their present schools. All of them possessed a university degree and had received teacher training. About two-thirds were middle managers and more than half played the “dual roles of appraiser and appraisee”. More than one-third had the subject panel chairperson as their main appraiser and about one-quarter had the school principal as their main appraiser. Nearly two-thirds of the respondents did not have secondary appraisers and about three-quarters of them did not have any reciprocal relationship with their appraisers or appraisees.

5.3 Problems experienced and reasons for perceiving these as problems

The respondents suggested 13 problems, namely, insufficient time or heavy workload, teachers not taking appraisal seriously, incomprehensive and non-continuous assessment of performance, subjective assessment of performance, lack of follow-up, lack of

trust, ambiguous and non-genuine feedback, not assessing the normal/realistic events or issues, political review, psychological burden of teachers, lack of capable and “quality” appraisers, lack of a built-in appeals mechanism, and lack of hands-on information about the appraisee. Regarding the problem of insufficient time or heavy workload, respondent 6 commented:

*“Most teachers have already overloaded by both teaching and non-teaching works. Appraisal demands a lot of time. Both appraisers and appraisees could not afford the time to conduct objective and accurate assessments under normal circumstances. Most of them prefer to treat appraisal as unimportant and ritual task.”*

Regarding the problem of teachers not taking appraisal seriously, respondent 12 explained his viewpoint:

*“Teachers do not feel the necessity of appraisal. Appraisal is done just for fulfilling the requirements of EMB. Teachers consider appraisal is useless for two reasons. First, feedbacks are not concrete and cannot help them to improve. Teachers don’t want to waste their time to work on tasks with*

*doubtful effectiveness. Second, there are no follow-up actions. It does not help teacher development. Also, there are no rewards or punishments regardless of the assessment results."*

Regarding the problem of incomprehensive and non-continuous assessment of performance, respondents 18 and 22 declared:

*"Appraisal is the snapshot assessment of the performance of teachers only in one aspect or few aspects. If the assessment is not continuous and comprehensive, it may not be accurate. The credibility of appraisal scheme may become questionable."*

Table 5.3 summarises the problems identified and the reasons why the respondents perceived them as problems.

Table 5.3: Problems identified in implementing the mandatory teacher appraisal scheme and reasons for perceiving them as problems

<i>Problem perceived</i>	<i>No. of respondents</i>	<i>Explanation offered by respondents</i>
(1) Insufficient time or heavy workload	13	Appraisal requires a lot of discussion, negotiation and documentary work. Teachers would like to spend their time on other more meaningful work.

<i>Problem perceived</i>	<i>No. of respondents</i>	<i>Explanation offered by respondents</i>
(2) Teachers not taking appraisal seriously	7	The appraisal scheme is ineffective for both school improvements and teachers' professional development. Most teachers do not care about the suggestions and outcomes of appraisal. They treat appraisal as a ritualistic practice and perform appraisal activities perfunctorily.
(3) Incomprehensive and non-continuous assessment of performance	7	The assessment of performance may not reflect the actual performance of appraisees. Some teachers seldom pay attention and make no effort towards those important but non-appraised duties.
(4) Subjective assessment of performance	6	Since appraisal involves human judgment, interpretation of the assessing criteria varies with individuals. Different appraisers may give different ratings to similar performance.
(5) Lack of follow-up	5	If there is no follow-up, any improvement is unlikely. Appraisal becomes a meaningless exercise.
(6) Lack of trust	3	In appraisal, lack of trust creates unnecessary disputes which easily escalate into conflicts. This has a detrimental effect on teamwork. Also, teachers will be inclined to collect and keep as many written records as possible. This consolidates the atmosphere of distrust and creates extra workload.
(7) Ambiguous and non-genuine feedback	2	It is impossible for the appraisee to improve if no explicit and clear feedback is received. Also, most feedback focuses on merits and critical comments are rather infrequent.
(8) Not assessing the normal/realistic events or issues	2	Performance of teachers and students are not similar to their day-to-day norm. Their behaviours are designed specifically for appraisal. The assessment cannot diagnose "real problems" and cannot identify the areas for improvement. School improvements will become impossible.
(9) Political review	2	Very often, the appraisers have conclusions in their mind before assessing the performance of appraisees. The assessment is not based on actual

<i>Problem perceived</i>	<i>No. of respondents</i>	<i>Explanation offered by respondents</i>
		performance. This creates unfairness and undermines the credibility of the appraisal scheme.
(10) Psychological burden of teachers	2	It is difficult for teachers to give clear and explicit feedback in appraisal because the traditional Chinese prefer not to comment on the shortcomings of others. Also, teachers are regarded as knowledgeable and superior persons in society. Psychologically, it is hard for teachers to reverse their positions and to be appraised by others.
(11) Lack of capable and “quality” appraisers	2	Capable and quality appraisers are vital to the success of all appraisal schemes. Many appraisers do not possess the professional knowledge to appraise their appraisees and the quality of appraisal can hardly be deemed satisfactory.
(12) Lack of built-in appeals mechanism	1	The appraisers might be tempted to abuse their power. This will undermine the credibility of the appraisal scheme if there are no built-in appeals mechanisms.
(13) Lack of hands-on information about appraisee	1	The appraisers tend to give an almost average assessment which will be less disputable. However, the assessment may not truly reflect the actual performance of the appraisee.

#### 5.4 Perceived importance of problems and the explanations

A three-point scale was used to estimate the relative weightings of problems. The most serious problem scored three points, the second most serious problem scored two points and the least serious problem scored one point. The problem of insufficient time or heavy workload was ranked the first, and the problem of teachers not taking appraisal seriously was ranked the second. Both the problem of incomprehensive and non-continuous assessment of performance and the problem of subjective assessment of performance were ranked the third.

Regarding the problem of insufficient time or heavy workload, respondent 13 explained:

*“Without sufficient time, neither the appraisers nor the appraisees could conduct the appraisal seriously. Appraisers could not collect the hands-on information on the performances of appraisees. The appraisal outcomes could not truly reflect the performances of appraisees.”*

Regarding the problem of teachers not taking appraisal seriously, respondent 12 commented:

*“Actually, the problem of teachers not taking appraisal seriously and the problem of insufficient time or heavy workload are inter-related. They are dependent on the perception of teachers on the importance of appraisal. If teachers do not perceive the significance of appraisal or do not identify with the appraisal scheme, they do not treat appraisal activities as important. Hence, they will not squeeze their time to work seriously on the appraisal activities.”*

Regarding the problem of incomprehensive and non-continuous assessment of performance, respondents 14 and 18 justified their answer:

*"The foundation of assessment should be the summation of daily performances over a long period of time. If appraisal is based on the assessment of snapshots in one or limited areas of performance, reality would not be assessed. The outcome of appraisal would not reflect the true performance of teachers."*

Regarding to the problem of subjective assessment of performance, respondent 4 said:

*"Subjective assessment of performance may lead to inaccurate assessment. Lack of openness in appraisal will adversely affect the harmonious relationships between teachers. Future cooperation may become difficult."*

Table 5.4 summarises the relative weightings of each problem and the reasons for the weightings.

Table 5.4 Relative weightings of problems and reasons for the weightings

<i>Problem</i>	<i>Relative weighting</i>	<i>Explanation offered by respondents</i>
(1) Insufficient time or heavy workload	21	Appraisers cannot conduct quality assessment without sufficient time.
(2) Teachers not taking appraisal seriously	17	When teachers treat appraisal as a ritualistic activity, they will not make time to work on it. No school improvements are possible.



<i>Problem</i>	<i>Relative weighting</i>	<i>Explanation offered by respondents</i>
(3) Incomprehensive and non-continuous assessment of performance	12	The outcome of appraisal does not reflect the actual performance of the appraisee.
(4) Subjective assessment of performance	12	Subjective assessment of performance contributes to inaccuracy of assessment and creates a lot of disputes. This destroys the harmonious relationships among teachers and teamwork can be negatively affected.
(5) Lack of capable and “quality” appraiser	10	In order to harness the benefits of the appraisal scheme, appraisers should be familiar with the principles of appraisal and possess the capability to assess appraisees accurately. Only capable and “quality” appraisers can transform the spirit of appraisal into quality appraisal activities.
(6) Political review	7	The core values of appraisal should be fairness and justice. Political reviews destroy the credibility of the appraisal scheme.
(7) Lack of trust	5	Lack of trust defeats the basic requirement of the appraisal scheme – appraisers should rate the appraisees according to their actual performance.
(8) Not assessing the normal/realistic events or issues	5	Assessing realistic events is the cornerstone of appraisal activities. If appraisal is not based on reality, all improvements are in vain.
(9) Psychological burden of teachers	4	Teachers are not ready to give explicit feedback or to receive comments and suggestions. The effectiveness of appraisal is in doubt.
(10) Lack of built-in appeals mechanism	3	Very often, the appraisees are forced to accept the assessment result even though there are disputes. This destroys harmonious relationships and undermines morale.
(11) Ambiguous and non-genuine feedback	2	Appraisees cannot improve if the feedback is ambiguous and non-genuine.

<i>Problem</i>	<i>Relative weighting</i>	<i>Explanation offered by respondents</i>
(12) Lack of follow-up	2	The fundamental aim of appraisal should be school improvements. Lack of follow-up makes appraisal a meaningless exercise.
(13) Lack of hands-on information about appraisee	1	The outcome of appraisal does not truly reflect the performance of appraisees.

5.5 Impacts of the four Chinese cultural dimensions on the appraisal process

*High power distance*

Most (59.1%) of the respondents considered that high power distance generated a negative impact on the process of appraisal. More than one-third (36.4%) of the respondents suggested that it produced a positive impact. However, almost none (4.5%) of the respondents reflected that it produced no impact. Regarding the negative impact on the process of appraisal, respondents 7 and 13 commented:

*“High power distance resists peers appraisal and bottom-up appraisal. There would be no check and balance, and no peer learning. Professional dialogues would be discouraged. In worse situations, the senior management may tend to abuse their authority and criticize their subordinates arbitrarily.”*

Regarding the positive impact on the process of appraisal, respondent 16 explained:

*“Hierarchical relationship facilitates the clear definition of responsibility and authority. Teachers could execute the jurisdictions fully in their posts.”*

Table 5.4(a) summarises the explanations offered by the respondents.

Table 5.5(a) Impact of high power distance and the explanations

<i>Impact of high power distance</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) No impact	1 (4.5%)	The school culture is rather non-hierarchical. The high power distance dimension in the national culture influences teachers less. They seldom emphasize hierarchical relationships.
(2) Positive impact	8 (36.4%)	(1) High power distance facilitates the implementation of a top-down appraisal scheme because appraisers are perceived to have greater authority in appraisal. (2) Hierarchical relationships enable clear definition of authority and responsibility. All teachers can execute the jurisdictions that accompany their posts.
(3) Negative impact	13 (59.1%)	(1) High power distance hinders two-way communication between appraisers and appraisees. Peer or bottom-up appraisals become impossible. (2) High power distance is against the democratic trend of society. It weakens the co-operative atmosphere and is not conducive to teamwork. (3) Appraisers might abuse their powers and destroy the credibility of the appraisal scheme. As long as the assessment results are within their tolerance limits, appraisees will be inclined to accept the results with little negotiation. (4) Teachers tend to form gangs or groupings to protect their interests. Interests of small groups may override those of whole school.

### *Low uncertainty avoidance*

The majority (81.8%) of the respondents considered that low uncertainty avoidance generated a negative impact on the process of appraisal. A small proportion (13.6%) of the respondents suggested that it produced a positive impact. However, almost none (4.5%) of the respondents reflected that it produced no impact. Regarding the negative impact of low uncertainty avoidance, respondent 6 commented:

*“Low uncertainty avoidance leaves room for different interpretation. This provides grey area, which appraisers may manipulate their assessment. Under the influence of low uncertainty avoidance, appraisers will not give clear feedback. Hence, no improvement could be made.”*

Regarding the positive impact of low uncertainty avoidance, respondent 10 explained:

*“It may be advantageous for not giving clear feedback. If the appraisers give their feedback tactfully, their appraisees will be easier to take and accept their advice. However, this is not easy and requires appraisers having versatile interpersonal skills.”*

Table 5.5(b) summarises the explanations offered by the respondents.

Table 5.5(b) Impact of low uncertainty avoidance and the explanations

<i>Impact of low uncertainty avoidance</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) No impact	1 (4.5%)	The management system of the school requests appraisers to give unambiguous and direct feedback regardless of the feelings of appraisees.
(2) Positive impact	3 (13.6%)	(1) It would be easier for appraisees to accept suggestions and make improvements. (2) Low uncertainty avoidance may help maintain a harmonious relationship between appraiser and appraisee. This facilitates teamwork.
(3) Negative impact	18 (81.8%)	(1) Both appraiser and appraisee are inclined not to expose problems. Appraisers prefer ambiguous and non-specific feedback to clear and specific feedback. It is hard for appraisees to follow suggestions and so improvements become impossible. (2) Low uncertainty avoidance leaves room for different interpretations. This may intensify the tension between appraiser and appraisee. Unless appraisers possess versatile interpersonal skills, low uncertainty avoidance will easily ruin the collaboration among teachers.

*Collectivism*

Nearly half (45.5%) of the respondents considered that collectivism produced no impact on the process of appraisal. More than one-third (40.9%) of the respondents reflected that it produced negative impact. A small proportion (13.6%) of the respondents

suggested that it produced a positive impact. Regarding the neutral impact of collectivism on appraisal, respondents 3, 17, 18 claimed:

*"The culture has changed. In Hong Kong, the society becomes more and more competitive. The focus of appraisal is mainly on individuals. The influence of the concept of individualism increases."*

Regarding the negative impact of collectivism on appraisal, respondent 15 stated:

*"Appraisers will give higher ratings to teachers, who are in the same party with them. The group membership of teachers is more important than their performance. However, it is very difficult to avoid this effect."*

Table 5.5(c) summarises the explanations offered by the respondents.

Table 5.5(c) Impact of collectivism and the explanations

<i>Impact of collectivism</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) No impact	10 (45.5%)	The culture has changed. As society becomes more competitive, the concept of individualism becomes more popular and the impact of collectivism on teacher appraisal becomes negligible.

<i>Impact of collectivism</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(2) Positive impact	3 (13.6%)	Collectivism enables teamwork. Since most schoolwork involves teams, it is reasonable that teams should bear the responsibility. If the ultimate aim of teacher appraisal is for school improvements, group appraisal of teachers should be indispensable. Group appraisal may be more suitable than appraisal of individual teachers although the actual impact of collectivism depends on school situations.
(3) Negative impact	9 (40.9%)	<p>(1) Collectivism overlooks the effort and contribution of individuals. The group that one belongs to is more important than the individual's actual performance.</p> <p>(2) Appraisers need to consider the possible impacts of their assessment on other teachers. For example, they may avoid criticizing all widely accepted practices, even though these practices are debatable or infeasible.</p>

### *Neither masculine nor feminine*

Traditional Chinese culture is described as neither masculine nor feminine but emphasizes the unity of both. Nearly two-thirds (63.6%) of the respondents suggested that the masculinity dimension produced a positive impact on the process of appraisal. More than one-third (36.4%) of the respondents reflected that it produced a negative impact. However, no respondents considered that the masculinity dimension generated no impact. Regarding the positive impact of the masculinity dimension, respondents 1, 3, and 10 explained:



*"Appraisal should focus both on the process and on the outcome. Teaching is different from business work. Many often, the outcome of teaching is not tangible and teachers could not control the outcome. Therefore, appraisal is forced to focus not only on the outcome, but the process too."*

Regarding the negative impact of the masculinity dimension, respondents 18 and 19 declared:

*"Appraisal should be more results-driven. Results-driven appraisal implies that teachers have full autonomy in their teaching. This will encourage greater creativity and greater improvement. Results should be in higher priority than process."*

Table 5.5(d) summarises the explanations offered by the respondents.

Table 5.5(d) Impact of masculinity dimension and the explanations

<i>Impact of masculinity dimension</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) Positive impact	14 (63.6%)	There are many factors affecting the outcome of teaching and the outcome of teaching is not that tangible. It is difficult to establish a cause-effect relationship between teacher effort and student outcome. The emphasis on both the process and the outcome is more reasonable, more appropriate and more widely accepted for teacher appraisal.



<i>Impact of masculinity dimension</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(2) Negative impact	8 (36.4%)	<p>(1) Appraisal should be results-driven. A results-driven appraisal scheme offers full autonomy to teachers and they bear greater responsibility in their teaching work. Greater autonomy and responsibility encourages more creativity and greater motivation for improvements. There would be faster, more school improvements.</p> <p>(2) Focusing on process gives much more room for appraisers to interpret the performance of appraisees. This may threaten the reliability of appraisal.</p>
(3) No impact	0 (0.0%)	-----

## 5.6 Impacts of some Chinese values on the appraisal process

### *Emphasis on harmonious relationships and conflict avoidance*

More than half (54.5%) of the respondents reflected that the emphasis on harmonious relationships and conflict avoidance produced a negative impact on the appraisal process. More than one-third (36.4%) of the respondents suggested that the emphasis on harmonious relationships and conflict avoidance produced a positive impact. Only very few (9.1%) respondents considered that the emphasis on harmonious relationships and conflict avoidance did not have any impact on the process of appraisal. Regarding the negative impact of the emphasis on harmonious relationships, respondent 12 remarked:

*“Under the influence of the emphasis on harmonious relationships, teachers tend not to point out the weaknesses or mistakes of others. Therefore,*

*appraisees will not know their own weaknesses and cannot improve themselves.*

*In my school, when particular teacher commits serious mistake, the school will give suggestion or advice through a third party. This method of intermediacy has both merits and demerits. It allows teachers to improve without destroying their harmonious relationships. However, the improvement is very slow and this may scarify the benefits of students."*

Regarding the positive impact of the emphasis on harmonious relationships, respondents 1 and 18 claimed:

*"The emphasis on harmonious relationships enhances collaboration and teamwork. Otherwise the cooperation between teachers will become difficult. However, there should be a minimum standard that the interest of students should not be adversely affected."*

Table 5.6(a) summarises the explanations offered by the respondents.

Table 5.6(a) Impact of emphasis on “harmonious relationships and conflict avoidance” and the explanations

<i>Impact of emphasis of harmonious relationships and conflict avoidance</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) No impact	2 (9.1%)	The culture has changed. Effects of the organizational management system override those of traditional culture.
(2) Positive impact	8 (36.4%)	The emphasis on harmonious relationships and conflict avoidance enhances the collaboration and teamwork of teachers. If appraisers are sincere, genuine and possess sophisticated interpersonal skills, this may produce a positive impact on the appraisal process by helping appraisees to improve.
(3) Negative impact	12 (54.5%)	(1) Appraisers will not give critical comments. It is therefore difficult for appraisees to improve. (2) Both appraisers and appraisees tend to cover up any problems. It will be non-advantageous for school improvements.

### *Concept of face saving*

The majority (59.1%) of the respondents reflected that the concept of face saving produced a negative impact on the process of appraisal. Almost one-third (31.8%) of the respondents considered that the concept of face saving did not produce any impact. Only a few (9.1%) respondents suggested that the concept of face saving produced a positive impact.

Regarding the negative impact of the concept of face saving, respondent 12 commented:

*“Appraisers tend to praise good performance and keep poor performance in low profile. Poor performance is indirectly pointed out and is positively reframed. This contributes to the low effectiveness of appraisal scheme. The result is unsatisfactory. Conversely, the appraisers seldom make use of the concept of face saving to motivate the appraisees for better performance.”*

Regarding the positive impact of the concept of face saving, respondent 11 declared:

*“Appraisers will aware that conflicts may be resulted if outright feedbacks are given. Therefore, appraisers must follow proper procedures and have sufficient ground to support their comments.”*

Table 5.6(b) summarises the explanations offered by the respondents.

Table 5.6(b) Impact of concept of face saving and the explanations

<i>Impact of concept of face saving</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) Negative impact	13 (59.1%)	<p>(1) Appraisers tend to give higher grades to appraisees and are inclined not give critical feedback. This is not conducive to school improvements.</p> <p>(2) The concept of face saving hinders appraisees from accepting suggestions and comments. This is not conducive to school improvements.</p>
(2) Positive impact	2 (9.1%)	<p>(1) The concept of face saving may provide the motivation for improvements because appraisees are fearful of losing face.</p> <p>(2) Appraisers will be more cautious about making comments and feedback. They will ensure that they have followed proper procedures and have sufficient grounds to justify their comments and feedback in order to avoid conflicts. This increases the credibility of the appraisal scheme.</p>
(3) No impact	7 (31.8%)	Appraisal matters are private and confidential and should not relate to face saving.

### *Emphasis on connection and human feelings*

The majority (68.2%) of the respondents reflected that the emphasis on connection and human feelings generated a negative impact on the process of appraisal. Some (18.2%) respondents considered that the emphasis on connection and human feelings produced a positive impact. Only a few (13.6%) respondents suggested that the emphasis on connection and human feelings did not have any impact. Regarding the negative impact of the emphasis on connection and human feelings, respondent 19 explained:

*“Factors other than performance are included in assessment. The consideration of connection and human feelings reduces the accuracy of assessment of performance. The assessment depends on individuals’ connections.”*

Regarding the positive impact of the emphasis on connection and human feelings, respondent 9 commented:

*“The emphasis on connection and human feelings is a good thing because this makes things work smoothly and efficiently. Appraisers should not overemphasise on trivial, occasional, and incidental events. They could focus on significant events and consider their long-term relationships with appraisees.”*

Table 5.5(c) summarises the explanations offered by the respondents.

Table 5.6(c) Impact of emphasis on connection and human feelings and the explanations

<i>Impact of emphasis of connection and human feelings</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) No impact	3 (13.6%)	(1) Almost no teachers have strong and significant connections with the senior management. (2) The appraisal system is operated at a balanced point at which the positive impact of connection and human feelings is offset by their negative impact.
(2) Positive impact	4 (18.2%)	(1) It acts as a lubricant for defects in the appraisal scheme so that the appraisal process can operate smoothly and efficiently. (2) It will encourage appraisers to focus on significant events and to build up constructive relationships with appraisees. Appraisers will no longer concentrate on trivial and occasional events.
(3) Negative impact	15 (68.2%)	(1) It encourages the exchange of benefits and the formation of cliques. (2) Assessment is not solely based on performance. This creates unfairness and disastrous effects may be resulted.

*Emphasis of reciprocation*

Nearly half (45.4%) of the respondents reflected that the emphasis on reciprocation produced a negative impact on the process of appraisal. More than one-quarter (27.3%) of the respondents suggested that the emphasis on reciprocation had no impact. More than one-quarter (27.3%) of the respondents considered that the emphasis on reciprocation generated a positive impact. Regarding the negative impact of the emphasis on reciprocation, respondent 15 claimed:

*"The emphasis on reciprocation leads to the exchange of interests between individuals or groups. The assessment will no longer reflect the actual performance of appraisees."*

Regarding the positive impact of the emphasis on reciprocation, respondent 6 suggested:

*"Under the influence of the emphasis on reciprocation, both appraisers and appraisees will try to maintain better working relationship. There would be more dialogues and better communications between appraisers and appraisees."*

Table 5.6(d) summarises the explanations offered by the respondents.

Table 5.6(d) Impact of emphasis on reciprocation and the explanations

<i>Impact of emphasis on reciprocation</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) No impact	6 (27.3%)	(1) Appraisees are assessed by more than one appraiser and they do not know the assessment suggested by individual appraisers. (2) Reciprocation relationships do not exist.



<i>Impact of emphasis on reciprocation</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(2) Positive impact	6 (27.3%)	<p>(1) Reciprocation imposes a check and balance mechanism on the process of appraisal, at least psychologically. It forces both appraisers and appraisees to become more open and to learn from each other.</p> <p>(2) Both appraisers and appraisees must try their best to establish better working relationships. Also, they will avoid conflicts as far as possible. This facilitates the smooth operation of school activities.</p>
(3) Negative impact	10 (45.5%)	<p>(1) The emphasis on reciprocation enhances the exchange of benefits.</p> <p>(2) Appraisers need to consider the response of appraisees. They tend to be more lenient because most people bully the weak and fear the strong. Assessment is no longer based solely on performance and this creates unfairness.</p> <p>(3) Both appraisers and appraisees may flatter each other and will cover up the problems in schools. School improvements become impossible.</p>

#### *Emphasis on "concept of trust between friends"*

More than half (59.1%) of the respondents suggested that the emphasis on trust between friends produced a negative impact on the process of appraisal. Nearly one-quarter (22.7%) of respondents considered that it generated a positive impact. Some (18.2%) respondents suggested that the emphasis on trust between friends did not have any impact. Regarding the negative impact of the emphasis on trust between friends, respondent 9 explained:

*"The emphasis on trust between friends will turn simple working relationship between appraiser and appraisee into intricate relationship. Very often, the cause of problems will be attributed to the defects of individuals, rather than to the defects of system. Therefore, it becomes difficult to improve the school system."*

Regarding the positive impact of the emphasis on trust between friends, respondent 16 declared:

*"Trust is the essential prerequisite of appraisal. Appraisal will not succeed without trust. Without trust, teachers may guess whether there are any hidden agenda in appraisal."*

Table 5.6(e) summarises the explanations offered by the respondents.

Table 5.6(e) Impact of emphasis on trust between friends and the explanations

<i>Impact of emphasis of trust between friends</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) No impact	4 (18.2%)	Private relationships should not be applicable in a work setting.

<i>Impact of emphasis of trust between friends</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(2) Positive impact	5 (22.7%)	The emphasis on trust reduces the mutual suspicion between appraiser and appraisee. It promotes teamwork by encouraging open communication and genuine feedback between appraiser and appraisee.
(3) Negative impact	13 (59.1%)	<p>(1) The emphasis on trust between friends confuses personal relationships with working relationships and the outcome of appraisal depends on friendship rather than performance. Appraisal of performance becomes appraisal of the individual.</p> <p>(2) Very often, problems in the school system will be attributed to individual factors. Defects in the school system are denied and improvement of school systems becomes less likely.</p>

#### *Emphasis on “respect for age and seniority”*

Nearly half (45.5%) of the respondents suggested that the emphasis on “respect for age and seniority” produced a negative impact on the process of appraisal. More than one-third (36.4%) of the respondents considered that the emphasis on the respect for age and seniority did not produce any impact. Some (18.2%) of the respondents reflected that the emphasis on the respect for the age and the seniority produced a positive impact. Regarding the negative impact of the emphasis on the respect for age and seniority, respondent 19 commented:

*“The emphasis on the respect for age and seniority will produce a negative*

*impact. Respect for age and seniority implies an emphasis on experience.*

*This is not advantageous for creativity and paradigm shift.”*

Regarding the neutral impact of the emphasis on the respect for age and seniority, respondent

1 explained:

*“There are no effects. The culture has changed. Conversely, very often the aged and the seniors are disadvantaged in government schools. They are chosen to be directed against simply because the EMB want them to join the early retirement scheme.”*

Table 5.6(f) summarises the explanations offered by the respondents.

Table 5.6(f) Impact of emphasis on “respect for age and seniority” and the explanations

<i>Impact of emphasis on respect for the aged and seniority</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) No impact	8 (36.4%)	The culture has changed. For the sake of fairness, all teachers should receive similar treatment in appraisal and there is no extra allowance for the aged and seniors. Conversely, sometimes the aged and seniors are targeted with a desire to lay them off.

<i>Impact of emphasis on respect for the aged and seniority</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(2) Positive impact	4 (18.2%)	The emphasis on the respect for age and seniority means recognition of their contributions. This is beneficial for staff morale and the stabilization and succession of the organization.
(3) Negative impact	10 (45.5%)	(1) The emphasis on the respect for age and seniority is non-advantageous for creativity and paradigm shift. (2) Factors other than performance are considered and this creates unfairness in appraisal.

### 5.7 Perceived Impacts on Teaching Behaviours

Approximately half (50.0%) of the respondents suggested that the implementation of the appraisal scheme did not have any impact on their teaching behaviours, e.g. lesson preparation, instructional skills, classroom management, quality of marking assignments, student assessment, collaboration among teachers and overall teaching effectiveness. More than one-third (40.9%) of the respondents considered that the implementation of the appraisal scheme had a positive impact. Only a few (9.1%) of the respondents reflected that the implementation of the appraisal scheme produced a negative impact. Regarding the neutral impact on teaching behaviours, respondent 4 explained:

*"The implementation of appraisal scheme does not have any impact on my teaching work. First, there are no substantial suggestions for improvement.*

*Second, the credibility of appraisal scheme is low. Third, the outcome does not affect staff promotion."*

Regarding the positive impact on teaching behaviours, respondent 2 explained:

*"There are improvements in the teaching work because the appraisees work more seriously. If there were no appraisal, the performance of appraisees might not be up to standard in most aspects. Appraisees will perform better because they do not want to feel embarrassed, lose faces, or face pressure from the senior management."*

Table 5.7 summarises the explanations offered by the respondents.

Table 5.7 Perceived impact on teaching behaviours and the explanations

<i>Perceived impact on teaching behaviours</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) No impact	11 (50.0%)	(1) Teachers have their core values in education and they will not change their routine practices easily. (2) The frequency of assessment, usually once per year, is too low. Appraisal cannot truly assess the performance of teachers. (3) There are no concrete objectives to achieve in appraisal and there are no follow-up actions.

<i>Perceived impact on teaching behaviours</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
		(4) Teachers do not care about the outcome of appraisal. They conduct appraisal activities perfunctorily since there are not sufficient links to rewards or punishments.
(2) Positive impact	9 (40.9%)	(1) The implementation of the appraisal scheme guarantees that all teachers fulfil the basic standards of teaching. (2) Teachers will learn from peers and make improvements according to the feedback they receive. (3) Appraisal coordinates teaching activities and directs concerted efforts of teachers to concerned items of school improvement.
(3) Negative impact	2 (9.1%)	(1) Appraisal activities demand a lot of teachers' work that reduce both the teaching capacity and the teaching time of teachers. (2) Appraisers give their comments even though they do not have any hands-on information. This may sidetrack the attention of appraisees and interfere with their teaching.

### 5.8 Perceived Impact of Appraisal Scheme on Relationships

Nearly three-quarters (72.7%) of the respondents considered that the implementation of the appraisal scheme did not produce any impacts on the appraiser-appraisee relationship, teacher-student relationship, peer relationship, teacher-school relationship and teacher-community relationship. A few (13.6%) respondents considered that the implementation of the appraisal scheme produced a positive impact. A few (13.6%) respondents reflected that the implementation of the appraisal



scheme produced a negative impact. Regarding the neutral impact on relationships, respondent 22 declared:

*"There are no impacts on these relationships for two reasons. First, the frequency of assessment is too low, usually once a year. Second, usually there are no significant interactions between appraiser and appraisee to produce an impact."*

Table 5.8 summarises the explanations offered by the respondents.

Table 5.8 Perceived impact on relationships and the explanations

<i>Perceived impact on relationships</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) No impact	16 (72.7%)	(1) The frequency of assessment, usually once per year, is too low. It is impossible for appraisal to produce its impact. (2) There is little genuine and significant interaction between teachers. (3) Teachers are not serious enough about appraisal activities. (4) Society demands the implementation of the appraisal scheme and it is not imposed by any individuals in school.
(2) Positive impact	3 (13.6%)	The implementation of the appraisal scheme establishes a formal working relationship among different parties in school. Relationships between individual teachers transforms from a personal



<i>Perceived impact on relationships</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
		relationship to a working relationship and teachers no longer rely on personal relationships to complete school tasks.
(3) Negative impact	3 (13.6%)	The implementation of the appraisal scheme creates a certain degree of tension between appraiser and appraisee, and between teacher and school. Teachers may question the validity and reliability of the appraisal scheme and they may doubt whether there is a hidden agenda in appraisal.

### 5.9 Perceived Impact on teacher knowledge

More than two-thirds (68.2%) of the respondents suggested that the implementation of the appraisal scheme did not have any impact on teacher knowledge, including understanding of the subject, the teaching-learning process, personal strengths and weaknesses, and direction for professional development. About one-third (31.8%) of respondents considered that the implementation of the appraisal scheme produced a positive impact. However, no respondents reported that the implementation of the appraisal scheme produced a negative impact. Regarding the perceived neutral impact on teacher knowledge, respondent 7 explained:

*"There are no impacts because appraisal activities have become routine and ritual events. If there are no big problems encountered, teachers will not increase the frequency and the quality of self-reflections."*

Regarding the perceived positive impact on teacher knowledge, respondent 5 commented:

*"Appraisees will have better understanding of the subject, the teaching-learning process, personal strengths and weaknesses, and direction for professional development. Appraisees will reflect more frequently and deeply on their performances. Also, appraisal provides an opportunity to appraisees to view themselves from another perspective."*

Table 5.9 summarises the explanations offered by the respondents.

Table 5.9 Perceived impact on teacher knowledge and the explanations

<i>Perceived impact on teacher knowledge</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) No impact	15 (68.2%)	(1) The frequency of assessment, usually once a year, is too low to have any impact. (2) Teachers do not treat appraisal seriously and they do not care about its outcome. They do not try to change their routine teaching practices.
(2) Positive impact	7 (31.8%)	(1) Appraisal provides opportunities for exchanging teaching ideas and sharing of experience. Teachers can examine their own teaching efficacy from different perspectives. (2) Appraisal encourages reflection and self-evaluation of teachers. Feedback from appraisal helps make improvements.

<i>Perceived impact on teacher knowledge</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
		(3) Teachers will work harder to prepare for appraisal activities. This helps teachers revise their knowledge or acquire new knowledge.
(3) Negative impact	0 (0.0%)	-----

#### 5.10 Perceived Impact on teacher attitudes

More than half (54.5%) of the respondents suggested that the implementation of the appraisal scheme produced a positive impact on the attitudes of teachers towards teaching, including reflection, openness to criticisms, enthusiasm and morale. Nearly half (45.5%) of the respondents considered that the implementation of the appraisal scheme did not produce any impact on the attitudes of teachers towards teaching. No respondents reflected that the implementation of the appraisal scheme produced a negative impact on the attitudes of teachers towards teaching. Regarding the perceived positive impact on teacher attitude, respondent 2 explained:

*"Teachers will reflect more because there is more stimulation from appraisers.*

*The openness to criticisms increases because appraisees become accustomed to criticisms. However, appraisal does not have any impact on the enthusiasm of teachers. The impact on morale depends on the outcome of appraisal. If the*

*outcome is satisfactory, the morale will increase. If the outcome is not satisfactory, the morale will drop."*

Regarding the perceived neutral impact on teacher attitude, respondents 7 and 21 commented:

*"There are no impacts on the attitudes towards teaching. Teachers understand the fundamental nature of appraisal and its inherent deficiencies and weaknesses. They do not concern with the activities and outcomes of appraisal."*

Table 5.10 summarises the explanations offered by the respondents.

Table 5.10 Perceived impact on teacher attitudes and the explanations

<i>Perceived impact on teacher attitudes</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) No impact	10 (45.5%)	<p>(1) Teachers do not care about the outcome of appraisal because they perceive that appraisal is purely a ritualistic process. They are not serious about appraisal activities and will not make improvements.</p> <p>(2) The impact depends on the outcome of appraisal. If the outcome of appraisal is satisfactory, morale and enthusiasm will increase. Otherwise, morale and enthusiasm will decrease.</p>
(2) Positive impact	12 (54.5%)	(1) There are a lot of evaluations and comments from others in appraisal. Teachers will reflect more and become more open to criticisms.

<i>Perceived impact on teacher attitudes</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
		(2) Self-appraisal constitutes an important part in appraisal and teachers are requested to reflect and self-evaluate. (3) Enthusiasm and morale will increase when peers demonstrate excellent teaching practices.
(3) Negative impact	0 (0.0%)	-----

#### 5.11 Perceived Impact on summative outcomes of appraisal

##### *Fair and accurate assessment of performance*

Nearly half (45.5%) of the respondents reflected that appraisal had produced neither a fair nor an accurate assessment of their performance. Almost one-third (31.8%) of the respondents reported that appraisal had produced a fair but not accurate assessment of their performance. A few (13.6%) of the respondents suggested that appraisal had produced an accurate but not fair assessment of their performance. Very few (9.1%) respondents considered that appraisal had produced a fair and an accurate assessment of their performance. Regarding the perceived unfair and inaccurate impact of appraisal, respondent 17 declared:

*"Appraisal cannot give a fair assessment of teacher performance. Appraisers are not professional. They are not capable and are not of good quality. Appraisal is not accurate too. Firstly, both teachers and students behave differently in appraisal. Secondly, it is not comprehensive. Thirdly, most*

*appraisers are less capable and less knowledgeable than their appraisees."*

Regarding the perceived fair but inaccurate impact of appraisal, respondent 7 explained:

*"The appraisal scheme is fair because different appraisers use similar standard to assess the performance. However, it is inaccurate. The teaching ability, subject knowledge, and personal capacity of most appraisers are not sufficient to assess their appraisees. The assessment is not comprehensive enough and the frequency is too low, usually once a year. Also, most assessment activities are arranged ah hoc and are rushing."*

Table 5.11(a) summarises the explanations offered by the respondents.

Table 5.11(a) Perceived impact on fairness and accuracy and the explanations

<i>Perceived impact on fairness and accuracy of assessment</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) Fair assessment	9 (40.9%)	(1) Different appraisers use the same standards to assess the performance. (2) There is a team of teachers responsible for the moderation of assessment outcomes from different appraisers.

<i>Perceived impact on fairness and accuracy of assessment</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(2) Unfair assessment	13 (59.1%)	(1) Factors other than performance such as connection and seniority are taken into consideration in assessment of performance. (2) Different standards are used to assess different teachers.
(3) Accurate assessment	5 (22.7%)	(1) Appraisers are capable and complete the assessment in a serious and unbiased way. (2) The assessment of the appraiser is subjective but accurate although there are little clear and objective criteria for them to follow.
(4) Inaccurate assessment	17 (77.3%)	(1) The assessment is neither comprehensive nor continuous. (2) Both teachers and students behave differently from normal situations. (3) Appraisal depends too much on human factors and the assessment varies among individuals. For instance, certain appraisers may be incapable and do not possess the necessary knowledge for assessment.

#### *Eliminating incompetent teachers from schools*

More than half (54.5%) of the respondents suggested that the appraisal scheme could not help to eliminate incompetent teachers from schools. Nearly half (45.5%) of the respondents considered that the appraisal scheme could help to eliminate incompetent teachers from schools. Regarding the ineffectiveness of appraisal scheme to eliminate incompetent teachers, respondent 17 explained:



*“The purpose of appraisal is not for the elimination of incompetent teachers.*

*Teachers are “protected” under the existing system. They cannot be fired*

*unless they commit crime or serious professional misconduct.”*

Table 5.11(b) summarises the explanations offered by the respondents.

Table 5.11(b) Perceived impact on eliminating incompetent teachers and the explanations

<i>Perceived impact on eliminating incompetent teachers</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
Yes	10 (45.5%)	<p>(1) The information obtained from appraisal provides the evidence for the required disciplinary action.</p> <p>(2) Appraisal is one of the effective tools of the senior management. It can be deliberately used to achieve any political purpose.</p>
No	12 (54.5%)	<p>(1) The credibility of the appraisal scheme is very low.</p> <p>(2) The minimum requirement is too low and even incompetent teachers could satisfy that requirement.</p> <p>(3) There are a lot of factors affecting the performance of teachers and poor performance might not necessarily be attributed to individual factors.</p> <p>(4) Under normal circumstances, teachers are protected under the regulations stipulated by the EMB. Should a teacher be found incompetent, the school should provide coaching and opportunities for improvement. Disciplinary action is the last resort.</p>



### *Influences on managerial decisions and staff promotion*

Almost two-thirds (64%) of the respondents considered that the implementation of the appraisal scheme did influence managerial decisions and staff promotion in school. On the other hand, more than one-third (36%) of the respondents suggested that the implementation of the appraisal scheme did not influence managerial decisions and staff promotion in school. Regarding the impact on managerial decisions and staff promotion in schools, respondent 2 commented:

*"Appraisal affects both staff promotion and assignment of duties. Good appraisal reports are prerequisites for staff promotion. Also, the outcome of appraisal affects the allocation of school duties."*

Table 5.11(c) summarises the explanations offered by the respondents.

Table 5.11(c) Perceived influences on managerial decisions and staff promotion and the explanations

<i>Perceived impact on managerial decisions and staff promotion</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) Yes	14 (63.6%)	Satisfactory assessment results are pre-requisites for promotion to higher rank. Also, the school will make use of the assessment results in the assignment of duties.

<i>Perceived impact on managerial decisions and staff promotion</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(2) No	8 (36.4%)	The senior management will not consult the appraisers concerned in the promotion exercise and usually they make the decisions of their own accord. Conversely, the senior management will select the candidate for promotion and then duties will be tailor-made for the selected candidate. The assessments in appraisal are merely used to justify the decisions of the senior management.

#### *Impact on student learning outcomes*

Nearly ninety percent (86%) of respondents considered that the implementation of the appraisal scheme did not have any impact on student learning outcomes. Only a few (14%) respondents suggested that the implementation of the appraisal scheme produced a positive impact on student learning outcomes. No respondents reflected that the implementation of the appraisal scheme produced a negative impact on student learning outcomes. Regarding the ineffectiveness on student learning outcomes, respondents 1, 20, and 22 commented:

*"The impact is negligible. Appraisal system has not changed their teaching behaviours. They continue to perform their routines."*

Table 5.11(d) summarises the explanations offered by the respondents.

Table 5.11(d) Perceived impact on student learning outcomes and the explanations

<i>Perceived impact on student learning outcomes</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) Positive impact	3 (13.6%)	(1) Appraisal ensures that the performance of all teachers is above the minimum standard. (2) Some teachers, especially the less experienced, are motivated to work harder and to improve their teaching work.
(2) No impact	19 (86.4%)	(1) Appraisal has not changed the attitudes and teaching practices of teachers. (2) The focus of appraisal is not on teaching and learning processes but on administrative duties of teachers. (3) There are no follow-up actions for improvement. (4) Appraisal has not diagnosed the real problems and school improvements have become impossible. (5) Appraisal encourages the standardization and normalization of teaching practices. It discourages the most and the least efficient teaching practices at the same time. (6) Good teaching practices might not necessarily lead to better student learning outcomes.
(3) Negative impact	0 (0.0%)	-----

*Essential and effective component for school accountability*

Nearly two-thirds (63.6%) of the respondents suggested that the appraisal scheme was an essential but not effective component for school accountability. More than one-third (36.4%) of the respondents considered that the teacher appraisal scheme was both an essential and effective component for school accountability. No respondents suggested that the

appraisal scheme was a non-essential component for school accountability. Regarding the appraisal scheme as an essential but not effective component for school accountability, respondent 11 declared:

*"It should be an essential component. At present, it is not very effective and needs other supplementary measures. However, it will become more and more effective in future because it will become part of the school culture."*

Table 5.11(e) summarises the explanations offered by the respondents.

Table 5.11(e) Perception of appraisal as an essential and effective component for school accountability and the explanations

<i>Perception of appraisal as an essential and effective component for school accountability</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) Essential component	22 (100.0%)	The implementation of the appraisal scheme increases the transparency of school operations.
(2) Non-essential component	0 (0.0%)	-----
(3) Effective component	8 (36.4%)	(1) Appraisal activities are well structured and can achieve the objectives of appraisal. (2) Appraisal provides a means of quality control and forms an effective component for school accountability.
(4) Ineffective component	14 (63.6%)	(1) The appraisal scheme has not resulted in school improvements. (2) There are no other complementary measures.

<i>Perception of appraisal as an essential and effective component for school accountability</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
		<p>(3) The number of assessments is limited and the impact is minimal.</p> <p>(4) Appraisal produces its effect by changing the school culture. This takes a long time for appraisal to become part of the school culture.</p>

*Enhancing short-term school development and improvement*

Nearly two-thirds (63.6%) of the respondents suggested that the teacher appraisal scheme did not enhance short-term school development and improvement. More than one-third (36.4%) of the respondents considered that the teacher appraisal scheme did enhance short-term school development and improvement. Regarding the ineffectiveness to enhance short-term school development and improvement, respondent 8 explained:

*"No. Most teachers do not care about the outcomes of appraisal. They have not changed their routine practices."*

Table 5.11(f) summarises the explanations offered by the respondents.

Table 5.11(f) Perceived impact on enhancing short-term development and improvement and the explanations

<i>Perceived impact on enhancing short-term development and improvement</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) Yes	8 (36.4%)	(1) Appraisal draws all teachers' attention and effort to items that concern the school. Concerted efforts of teachers produce school enhancements. (2) Appraisal motivates some teachers, especially the less experienced teachers and teachers pending promotion, to work harder. (3) Feedback in appraisal helps teachers diagnose problems and make improvements.
(2) No	14 (63.6%)	(1) The behaviours of teachers have not changed significantly. (2) The appraisal scheme produces its effect through changing the school culture so that enhancement is extremely slow and negligible.

#### *Enhancing long-term school development and development*

More than half (54.5%) of the respondents considered that the teacher appraisal scheme did enhance long-term school development and improvement. Nearly half (45.5%) of the respondents considered that the teacher appraisal scheme did not enhance long-term school development and improvement. Regarding the enhancement of long-term school development and improvement, respondent 6 commented:

*"Yes, appraisal scheme does enhance the long-term development and improvement of school. It is worthwhile to implement the scheme because it has induced effects on new teachers. Also, the impacts are accumulative."*

Table 5.11(g) summarises the explanations offered by the respondents.

Table 5.11(g) Perceived impact on enhancing long-term development and improvement and the explanations

<i>Perceived impact on enhancing long-term development and improvement</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) Yes	12 (54.5%)	(1) Appraisal gradually changes the mindset of teachers and motivates them to make continuous improvements. (2) Small improvements accumulate and will accelerate at a later date, (3) A new school culture is established and new teachers are inducted to it. (4) Appraisal provides a monitoring system for minimal standards of performance.
(2) No	10 (45.5%)	(1) Most teachers do not care about the outcomes of appraisal and do not change their teaching practices. (2) The concerted effort of teachers is temporary and is not sustainable. (3) Enhancement is extremely slow and of little quantity.

5.12 Socio-demographic characteristics affecting views on appraisal

Nearly all (90.9%) of the respondents considered that the most influential factor affecting their views towards appraisal was life experience, especially their teaching experience. Nearly half (45.5%) of the respondents suggested that the most influential factor affecting their views on appraisal was their role in the appraisal process. A few (9.1%) respondents reflected that their gender might affect their views towards appraisal. A few (9.1%) respondents reflected that their personal particulars had not affected their views towards appraisal. Regarding the influence of life experience on views on appraisal, respondents<sup>17</sup> explained:

*“My teaching experience and role in appraisal process contribute to my understanding towards appraisal. They mould my educational value and hence my view towards appraisal.”*

Table 5.12 summarises the explanations offered by the respondents.



Table 5.12 Socio-demographic characteristics affecting views on appraisal and the explanations

<i>Socio-demographic characteristics affecting views on appraisal</i>	<i>No. and % of respondents</i>	<i>Explanation</i>
(1) Life experience, especially teaching experience	20 (90.9%)	Their family background, learning experience and teaching experience integrate and shape their educational values and their views towards appraisal. They have a better understanding of the nature of the appraisal scheme as their experience grows. They can better recognize the limitations of the appraisal scheme and will learn a variety of tactics to deal with it.
(2) Role in appraisal process	10 (45.5%)	It is easier for teachers to identify themselves with teachers playing the same role as them in appraisal. Consequently, they may develop similar views and similar attitudes towards appraisal.
(3) Gender	2 (9.1%)	The males are more lenient and do not focus too much on details. The females do focus on details and are rather tight in the assessment.
(4) None	2 (9.1%)	-----

### 5.13 Differences between respondents with different sexes

The responses between male and female respondents differed in a number of aspects. These were collectivism, concept of face saving, concept of connection and human feelings, concept of the respect for age and seniority, perceived impact on teaching behaviours, perceived impact on relationships, perceived fairness and accuracy of assessment, perceived influence on managerial decisions of school, and perceived as an essential and effective component for school accountability. Table 5.13 summarises the differences.

Table 5.13 Differences between respondents with different sexes

	<i>Differences</i>	<i>Male (%)</i>	<i>Female (%)</i>
(1)	Collectivism did not produce any impact on the process of appraisal.	36.8%	100.0%
(2)	Concept of face saving produced a negative impact on the process of appraisal.	52.6%	100.0%
(3)	Concept of connection and human feelings produced a negative impact on the process of appraisal.	63.2%	100.0%
(4)	The concept of connection and human feelings produced a negative impact because it encouraged the change of benefits and formation of gangs.	100.0%	0.0%
(5)	The concept of respect for age and seniority produced a negative impact on the process of appraisal.	36.8%	100.0%
(6)	The concept of the respect for age and seniority produced a negative impact because it was non-advantageous for creativity and paradigm shift.	100.0%	0.0%
(7)	The implementation of the appraisal scheme produced a negative impact on teaching behaviours, e.g. lesson preparation, instructional skills, classroom management, quality of marking assignments, student assessment, collaboration among teachers, and overall teaching effectiveness.	10.5%	0.0%
(8)	The implementation of the appraisal scheme produced a negative impact on teaching behaviours because teachers worked according to their core educational values and would not change with the implementation of the appraisal scheme.	5.3%	100.0%
(9)	The implementation of the appraisal scheme produced no impact on relationships such as appraiser-appraisee relationships, teacher-student relationships, peer relationships, teacher-school relationships and teacher-community relationships.	68.4%	100.0%

	<i>Differences</i>	<i>Male (%)</i>	<i>Female (%)</i>
10.	The implementation of the appraisal scheme produced no impact on relationships because there was little genuine and significant interaction between teachers.	26.3%	100.0%
11.	The appraisal scheme gave neither a fair nor an accurate assessment of teacher performance.	52.6%	0.0%
12.	The appraisal scheme gave a fair but not accurate assessment of teacher performance.	26.3%	66.7%
13.	The implementation of the appraisal scheme did affect the managerial decisions of the school such as staff promotion and assignment of duties.	57.9%	100.0%
14.	The appraisal scheme was an essential but not effective component for school accountability.	57.9%	100.0%

#### 5.14 Differences between respondents with different teaching experience

Teachers with different teaching experience differed in their responses in three aspects, namely, high power distance, emphasis of harmonious relationships and conflict avoidance, and emphasis of reciprocation. Table 5.14 summarises the differences among them.

Table 5.14 Differences between respondents with different teaching experience

<i>Differences</i>	<i>How do teachers with different teaching experience differ?</i>
(1) High power distance	<p>(1) As the teaching experience of respondents increases, the percentage of respondents who perceived that high power distance produced a positive impact increases.</p> <p>(2) All respondents with 6-10 years of teaching experience considered that high power distance produces a negative impact on the process of appraisal.</p>

<i>Differences</i>	<i>How do teachers with different teaching experience differ?</i>
	(3) As the teaching experience of respondents increases, a greater proportion of them mention both the pros and cons of high power distance. It seems that the higher the teaching experiences of the respondents, the more comprehensive and balanced their views are.
(2) Harmonious relations and conflict avoidance	<p>(1) With the exception of respondents with 6-10 years teaching experience, as the teaching experience of respondents increases, the percentage of respondents who perceived that the emphasis of harmonious relations and conflict avoidance produced a negative impact increases.</p> <p>(2) All respondents with 6-10 years of teaching experience considered that the emphasis of harmonious relations and conflict avoidance produced a positive impact on the process of appraisal.</p>
(3) Reciprocation	<p>(1) With the exception of respondents with 6-10 years teaching experience, as the teaching experience of respondents increases, the percentage of respondents who perceived that the emphasis of reciprocation produced a positive impact increases.</p> <p>(2) All respondents with 6-10 years teaching experience considered that the emphasis on reciprocation produced a negative impact on the process of appraisal.</p>

#### 5.15 Differences between respondents experiencing different number of appraisal cycles

Teachers experiencing a different number of appraisal cycles differed in their responses in five aspects. They were the impact of neither masculinity nor femininity, the impact of connection and human feeling, the impact on the elimination of incompetent teachers, the impact on the managerial decisions in school, and the use of the appraisal scheme as an effective component for school accountability. Table 5.15 summarises the differences among them.

Table 5.15 Differences between respondents experiencing different number of appraisal cycles

<i>Differences</i>	<i>How do teachers experiencing different appraisal cycles differ?</i>
(1) Impact of neither masculinity nor femininity	<p>(1) All respondents experiencing 7-9 appraisal cycles argued that appraisal should be results-driven.</p> <p>(2) None of the respondents experiencing 0 appraisal cycles or experiencing more than 9 appraisal cycles considered that appraisal should be results-driven.</p>
(2) Impact of connection and human feeling	<p>(1) The respondents perceiving a positive impact all came from the categories of respondents experiencing 4-6 appraisal cycles or 7-9 appraisal cycles.</p> <p>(2) In other categories, none of the respondents reflected that the emphasis generated a positive impact.</p>
(3) Impact on the elimination of incompetent teachers	<p>(1) All respondents experiencing 7-9 appraisal cycles or more than 9 appraisal cycles considered that appraisal could not eliminate incompetent teachers from schools.</p> <p>(2) In other categories of respondents, less than half (44.4%) of respondents reflected that appraisal could help eliminate incompetent teachers.</p>
(4) Impact on the managerial decisions in school	<p>(1) All respondents experiencing 7-9 appraisal cycles or more than 9 appraisal cycles considered that appraisal could not affect the managerial decisions in schools such as staff promotion and assignment of duties.</p> <p>(2) In other categories of respondents, less than one-quarter (22.2%) of respondents reflected that appraisal could not affect the managerial decisions in schools.</p>
(5) Use of appraisal scheme as an effective component for school accountability	<p>(1) All respondents who considered that teacher appraisal is an effective component came from the respondents experiencing 1-3 appraisal cycles and 4-6 appraisal cycles.</p> <p>(2) In other categories of respondents, that is, 0 appraisal cycles, 7-9 appraisal cycles and more than 9 appraisal cycles, none of the respondents considered that teacher appraisal is an effective component.</p>



5.16 Differences between respondents with different academic qualifications

Teachers with different academic qualifications differed in their responses in two aspects, namely, the impact of low uncertainty avoidance, and the impact on teaching behaviours. Table 5.16 summarises the differences among them.

Table 5.16 Differences between respondents with different academic qualifications

<i>Differences</i>	<i>How do teachers with different academic qualification differ?</i>
(1) Impact of low uncertainty avoidance	(1) All respondents who perceived a positive impact belonged to the category of Bachelor degrees. (2) None of respondents from other academic categories suggested that low uncertainty avoidance produced a positive impact on the process of appraisal.
(2) Impact on teaching behaviours	Respondents owning a Masters degree or a Doctorate degree contained a higher proportion of respondents perceiving a positive impact on their teaching behaviours.

5.17 Differences between respondents with different major responsibilities in schools

Teachers with different major responsibilities in schools differed in their responses in four aspects. They were the impact of harmonious relations and conflict avoidance, the impact of connection and human feelings, the impact of respect for age and seniority, and the use of appraisal as an essential and effective component for school accountability. Table 5.17 summarises the differences among them.

Table 5.17 Differences between respondents with different major responsibilities in schools

<i>Differences</i>	<i>How do teachers with different major responsibilities differ?</i>
(1) Impact of harmonious relations and conflict avoidance	<p>(1) All class teachers considered that the emphasis on harmonious relations and conflict avoidance produced a negative impact on the process of appraisal.</p> <p>(2) Only half of the middle managers and none of the senior managers considered that the emphasis on harmonious relations and conflict avoidance produced a negative impact on the process of appraisal.</p>
(2) Impact of connection and human feelings	<p>(1) All class teachers considered that the emphasis on connection and human feelings produced a negative impact on the process of appraisal.</p> <p>(2) More than half (56.3%) of the middle managers and half of the senior managers considered that the emphasis on harmonious relations and conflict avoidance produced a negative impact on the process of appraisal.</p>
(3) Impact of respect for age and seniority	<p>(1) All class teachers considered that the emphasis on respect for age and seniority produced a negative impact on the process of appraisal.</p> <p>(2) Less than one-quarter (21.4%) of the middle managers and none of the senior managers suggested that the emphasis on respect for age and seniority produced a negative impact on the process of appraisal.</p>
(4) Use of appraisal as an essential and effective component for school accountability	<p>(1) All class teachers considered that teacher appraisal is an essential but not effective component for school accountability.</p> <p>(2) Only half (50.0%) of the middle managers and senior managers suggested that teacher appraisal is an essential but not effective component for school accountability.</p>

#### 5.18 Differences between respondents with different roles in the appraisal process

Teachers with different roles in the appraisal process differed in their responses in three aspects. They were the impact of the concept of face saving, the impact on teaching

behaviours, and appraisal as an essential component and an effective means for school accountability. Table 5.18 summarises the differences among them.

Table 5.18 Differences between respondents with different roles in the appraisal process

<i>Differences</i>	<i>How do teachers with different roles in the appraisal process differ?</i>
(1) Impact of the concept of face saving	<p>(1) All respondents of the category “appraisee only” considered that the emphasis of the concept of face saving produced a negative impact on the process of appraisal.</p> <p>(2) Only one-third (33.3%) of the respondents of the category “appraiser only” and about two-thirds (61.5%) of the respondents of the category “dual role of appraiser and appraisee” suggested that the emphasis of the concept of face saving produced a negative impact on the process of appraisal.</p>
(2) Impact on teaching behaviours	<p>(1) More than three-quarters (83.3%) of the respondents of the category “appraisee only” considered that the teacher appraisal scheme produced a negative impact on teaching behaviours.</p> <p>(2) Less than half (33.3%) of the respondents of the category “appraiser only” and about one-third (38.5%) of the respondents of the category “dual roles of appraiser and appraisee” suggested that the teacher appraisal scheme produced a negative impact on teaching behaviours.</p>
(3) Appraisal as an essential component and an effective means for school accountability	<p>(1) Nearly two-thirds (61.5%) of respondents of the category “dual roles of appraiser and appraisee” suggested that the appraisal scheme is an essential and an effective component of school accountability.</p> <p>(2) None of respondents of the category “appraisee only” and one-third (33.3%) of respondents of the category “appraiser only” suggested that the appraisal scheme is an essential and an effective component of school accountability.</p>



#### 5.19 Data interpretation under the construct of face saving (“mianzi”)

Goffman (1955, cited in Kim and Nam, 1998:523) conceptualized face as “the positive social value a person effectively claims for himself by the line others assume he has taken during a particular contact. Face is an image of self delineated in terms of approved social attributes.” While it is not a necessity to strive to gain face, losing face is a serious matter which will, in varying degrees, affect one’s ability to function effectively in society (Ho, 1976:867). A person may experience embarrassment or blushing when the person perceives his/her face has been discredited in a particular encounter. Embarrassment felt by a person could disrupt the interaction, and thus, the person and the other participants have vested interest in protecting the person’s face to keep the social encounter smooth.

Face may be lost when conduct or performance falls below the minimum level considered acceptable or when certain vital or essential requirements, as functions of one’s social position, are not satisfactorily met (Ho, 1976:871). This might lead to three consequences. Firstly, appraisers avoided giving poor ratings to the performance of appraisees. Unsatisfactory performance was kept in low profile. Secondly, feedback from both appraisers and appraisees focused mainly on the merits. Critical comments and areas for improvement were rather infrequent. Thirdly, both appraisers and appraisees could not treat appraisal seriously. Appraisers inclined to give ambiguous and non-genuine feedback.

Otherwise the harmonious relationship would be destroyed. Respondent 15 commented:

*“Appraisers cannot treat appraisal seriously. Their ratings could not be too high or too low. Otherwise they would get into troubles because they need to justify their ratings. Also, their assessment could not deviate too much from the subjective and predetermined grade of the school principal.”*

When a certain level of performance is expected from Asian employees, they would try to meet that level primarily out of their concern for face (Kim and Nam, 1998:530).

Goal-setting then will be a powerful motivation technique among Asian workers, when goals set by their superiors symbolize the level of expectation from others in the work group.

Moreover, failure to meet performance standards can be a great motivator. Because people are eager to restore lost face, if the restoration of face is possible, people may try hard to meet others' expectations if they have another chance to do so (Apsler, 1975; Schneider, 1969; cited in Kim and Nam:1998:531). Thus, a motivational strategy of humiliation-expectation could be used effectively with Asian workers. In performance appraisal, the implementation of appraisal scheme has led to the improvement of teaching work. Respondent 12 commented:

*“Generally, the appraisal scheme is useful in improving the teaching work.*

*Most teachers strive to achieve good performance because they do not want to lose their faces in front of others. They will feel shame if their performance is poor. Most teachers learnt from good teaching practices exhibited by other teachers.”*

#### 5.20 Data interpretation under the construct of connection (“*guanxi*”)

*Guanxi* has been defined variously as networks, connections, contacts and even nepotism. A standard definition is that it refers to interpersonal connections and it is regarded as being all-pervasive in both Chinese business and social activities (Hutchings and Weir, 2006:273). Indeed, *guanxi* is an investment in a relationship (Luo, 1997:47). One important attribute is its reciprocity. A person who does not follow a rule of equity and refuses to return favor for favor will lose his face (*mianzi*) and be defined as untrustworthy. Also, rather than depending on an abstract notion of impartial justice, the Chinese people traditionally prefer to rely on their contacts with those in power to get things done (Luo, 1997:45). A practical consequence of *guanxi* is that personal connections and loyalties are often more important than organizational affiliations or legal standards. When decisions are made based on *guanxi*, employees will view the management as less trustworthy (Chen, et. al. 2004:206).

Since *guanxi* is informal, personal relationships rather than formal, official relationships in organizations, formal and informal relationships may overlap in an organization. In performance appraisal, such overlapping is often the source of actual or perceived conflict of interest between the appraisers' official responsibility and their personal relationships, drawing attention to issues of neutrality and fairness. Respondent 22 commented:

*"Connection causes exchanges of benefits. Appraisers would not assess based solely on performance of appraisees. This creates unfairness and gives a negative impact on appraisal."*

Also, in order to maintain or build up good personal relationship with appraisees, appraisers tend to give favours to them regardless of the criteria of assessment. The flavors may be in the form of higher grades, favourable feedbacks or less critical comments. If appraisers do not offer flavors to their appraisees, their connection will hardly be built. Teamwork and cooperation will become difficult. Respondent 16 commented:

*"One of the major problems of implementing appraisal scheme is the possibility of hurting the personal relationship (guanxi) of teachers."*

*Chinese people emphasize face saving and do not readily accept critiques.*

*When personal relationship between teachers is hurt, teamwork becomes*

*less likely. Also, Chinese people are readily to criticize privately but*

*seldom show their appreciation public to good performers. This will*

*produce negative impact on the long-term personal relationship.”*

## CHAPTER 6

### DISCUSSION ON SIGNIFICANT FINDINGS

#### 6.1 Socio-demographic Characteristics of Respondents

##### *Sex of respondents*

In Hong Kong secondary day schools, the proportion of female teachers (56.0%) is slightly higher than that of male teachers (44.0%) (Census and Statistics Department, 2006a:44). In the quantitative study, although there was a slight under representation of female respondents (48.1%) and a slight over representation of male respondents (51.9%), the sample could still be considered representative of the secondary day school teacher population. However, in the qualitative study, there was a serious under representation of female respondents (13.6%) and a serious over representation of male respondents (86.4%). Since the qualitative study is mainly exploratory in nature, this should not present any problems for the interpretations of the findings.

##### *Teaching experience of respondents*

In both the quantitative and the qualitative studies, the respondents had a wide range of teaching experience, ranging from one year to more than 20 years. In the quantitative study, the respondents had an average teaching experience of 15.3

years while the respondents in the qualitative study had an average teaching experience of 19.6 years. From the “Report of Survey on the School Curriculum Reform and Implementation of Key Learning Area Curricula in Schools 2003” (EMB, 2004b:2), the average teaching experience of teachers in day secondary schools is estimated to be around 13 years. The respondents in the two studies, especially those in the qualitative study, represented groups of teachers with above average teaching experience. There is speculation that teachers with 13 years of teaching experience may not differ very much from teachers with 20 years of teaching experience because the teaching expertise of both groups has reached an optimal level of performance.

#### *Number of appraisal cycles experienced by respondents*

In the quantitative study, the respondents experienced an average of 4.4 appraisal cycles and those in the qualitative study experienced an average of 4.5 appraisal cycles. The number of appraisal cycles experienced by respondents was slightly less than expected. If all schools had followed the instructions from the EMB and had started to implement the appraisal scheme from 2000, most teachers would have experienced 6 appraisal cycles, assuming there was a one-year appraisal cycle. There are three possible reasons to explain the smaller number of appraisal

cycles experienced by the respondents. Firstly, a significant proportion of schools adopted a two-year appraisal cycle in order to reduce the heavy workload of appraisal. Secondly, a significant proportion of schools delayed the implementation of the appraisal scheme since teacher appraisal was a difficult and sensitive matter, subject to gross mistakes and misjudgements (Oliva and Pawlas, 2001:470). Thirdly, a significant proportion of respondents came from newly established schools or had recently transferred from other schools. Out of the three reasons, the researcher believes that the most significant factor was the delay in implementation.

#### *Academic qualification of respondents*

In Hong Kong secondary day schools, 93.3% of teachers were university graduates or above and only 6.7% were non-university graduates (Census and Statistics Department, 2006b:288). Also, less than 23.0% of secondary school teachers had a Masters degree or higher (HKIEd, 2006:1). In both the quantitative and the qualitative studies, the proportion of non-degree holders (4.3% in the quantitative study and 0.0% in the qualitative study) was slightly less than the wider population (6.7%) and the proportion of respondents with Master degrees or above (36.1% in quantitative study and 40.9% in qualitative study) was significantly higher than the wider population (23.0%). This indicated that the respondents in both



studies possessed significantly higher academic qualifications than the wider population.

#### *Teacher training of respondents*

In secondary day schools, 95.0% of teachers had received teacher training while 5.0% of teachers had not received any teacher training (Census and Statistics Department, 2006b:288). In both studies, the proportion of untrained teachers (2.2% in the quantitative study and 0.0% in the qualitative study) was slightly below that of the wider population (5.0%). The relatively low percentage of untrained teachers may indicate that almost all teachers have a minimum level of competency in teaching. If this is the case, growth oriented systems, which have the potential to develop all teachers and not just those few who have problems, is essential for the mandatory teacher appraisal scheme.

#### *Major responsibility of respondents*

In typical government-funded secondary schools, the ratio of senior managers to middle managers is 3 (5.4%) to 22 (39.3%) and the ratio of middle managers to class teachers is approximately 22 (39.3%) to 31 (55.4%) (EMB, 2004a:35). In the quantitative study, there was a similar distribution of the major

responsibilities of respondents.. Their perceptions should therefore be representative of the wider population. However, in the qualitative study, there was a very high over representation of senior managers (9.1%) and middle managers (63.6%) while there was an under representation of class teachers (27.3%). Therefore, their views can only be used to explore ideas.

#### *Role of respondents in appraisal process*

In both the quantitative and the qualitative studies, there were a few respondents (2.8% and 13.6% respectively) who played the role of “appraiser only”. All of these respondents were senior managers. Literally, “appraiser only” means that these respondents did not have any appraisers to appraise their performance. This situation deserves attention or improvement because all personnel, including principals, should be appraised. Besides, in both the quantitative and the qualitative studies, there were a large proportion (56.5% and 59.1% respectively) of respondents playing the “dual roles of appraiser and appraisee”. This might indicate that the implementation of the appraisal scheme requires a large number of appraisers. Ideally, appraisers should fulfil at least three requirements. Firstly, appraisers should be more experienced or more senior than their appraisees. Secondly, appraisers should have some line management responsibility for the work or performance of

appraisees and should have some influence over their development. Thirdly, the number of appraisees assigned to each appraiser should not exceed the preset level. This prevents the overloading of appraisers.

#### *Main appraiser of respondents*

In both studies, the senior managers and the subject panel chairpersons constituted the most popular groups of primary appraisers. In a society with high power distance such as Hong Kong, senior managers are popular as appraisers because their position gives them the authority to appraise others. In a school with a traditional management structure, the division of labour is mainly through different subject departments. With the influence of educational reforms, schools are expected to change their traditional management structure to a more flexible one, in which there is an emphasis on the formation of a variety of functional teams based around tasks. In this more flexible structure, the committee heads are expected to be more popular as the main appraisers. The persistence of the popularity of subject panel chairpersons as main appraisers might indicate that the traditional school structure has not changed in response to the educational reforms. Also, only a few respondents (6.8%) had the committee heads as their main appraisers in the quantitative study. The relatively low frequency of committee heads as the main

appraisers might confirm that only a few schools had changed their management structure in response to the requirements of the educational reforms.

### *Secondary appraiser of respondents*

Many of the respondents stated that the appraisees did not have any secondary appraisers. The presence of secondary appraisers provides investigator triangulation and can enhance the validity of assessment. Without secondary appraisers, the assessment of appraisees may be less accurate and less comprehensive. This can undermine the credibility of the appraisal scheme. On the other hand, the vice-principals and committee heads were the most popular secondary appraisers. There is an argument that both are suitable candidates because they are involved in school-wide administrative duties. They should therefore be sufficiently informed to assess the non-teaching duties of appraisees.

### *Reciprocal relationship between appraiser and appraisee*

In both the quantitative and the qualitative studies, a significant proportion of respondents (37.3% and 22.7% respectively) had a reciprocal relationship with their appraisers or appraisees. Reciprocation can complicate appraisal matters, for example, the exchange of benefits between appraiser and appraisee. This can pose a

threat to the fairness of the appraisal scheme. From a management point of view, the existence of a reciprocal relationship is not desirable, as it can destroy the credibility of the appraisal scheme unless managerial decisions do not use the assessment outcomes. For instance, the Government of the HKSAR does not allow reciprocal relationships in appraisal and the rank of appraising officers must be higher than that of their appraisees.

## 6.2 Problems in Implementing the Mandatory Teacher Appraisal Scheme

### *Insufficient link to reward system*

Generally, in Hong Kong, there is no link between the salary of teachers and their performance. Only on a rare occasion, if the performance of a teacher is unsatisfactory, will the School Management Committee (SMC) subject to approval by the Permanent Secretary of the EMB, withhold the annual increment of a teacher by giving written notice three months before the incremental date (EMB, 2004a:7).

Merit pay schemes for teachers have been proposed to reward teachers for their accomplishments and motivate them to continue improving (Twomey, 1993:1).

Proponents of merit pay schemes believe that they will attract and retain better teachers and offer incentives to motivate and reward improved teaching (Wyman and Allen, 2001:1). Opponents of merit pay schemes, on the other hand, fear that the

many difficulties involved in evaluating and measuring a teacher's performance will result in unfair practices. They also believe that much of what is important about teaching is not performance-related and that performance pay will create competition among teachers and undermine the collaborative nature of the profession (Wyman and Allen, 2001:1).

Evaluation of teacher performance is a major concern in the design and implementation of any merit pay scheme. There are two fundamental problems; what is measured to determine merit and how well it is measured. There has been a great deal of discussion about whether the success of students or the demonstration of various skills and competencies of a teacher are the best measure of teacher performance. There are no inherent contradictions between the two, however, and both measures are used in several of the merit pay schemes (Wyman and Allen, 2001:2). Nevertheless, many people oppose rewarding teachers for demonstrating skills because they argue that those skills are difficult to assess and there is an unclear correlation between such skills and the effectiveness of a teacher in the classroom. On the other hand, many educators and others are concerned that making teachers accountable for their student performance unfairly implies teacher responsibility for factors that are outside of their control (Wyman and Allen, 2001:2). One suggestion

is to hold teachers accountable not for the absolute achievement of their students but for their achievement gains.

With respect to how well merit is measured, the decision process partly determines this (Twomey, 1993:3). In many merit systems, there are two tiers of judgements. The appraiser, usually the immediate supervisor, makes the initial rating. This rating is subject to rater error and rater bias. Even with training, the degree of accuracy is limited. But it is not just the appraiser who determines the merit pay for individual teachers. A typical pattern is to have the principal or vice-principal reassign the ratings or rankings of the teachers. Since the principals or vice-principals have limited first-hand knowledge of the performance of individual teachers, the decision process regresses into a political contest (Twomey, 1993:4). The power and persuasion of the appraiser at times become more important than the achievement of the teacher. In essence, merit pay schemes make use of extrinsic motivation to boost the performance of teachers. However, the motivational effects will not be sustainable and may even decrease the intrinsic motivation of teachers. It may be preferable for policy makers to put more effort into promoting the professional development of teachers.

### *Insufficient training*

In Hong Kong, all government-funded secondary schools should organize one or two one-day teacher development programmes on teacher appraisal prior to the implementation of the mandatory appraisal scheme. Piggot-Irvine (2003:176) argues that school management must re-think their approach to training so that it goes beyond the quick-fix, one day or even shorter, approach. She recommends that training should include all elements of appraisal such as values, purposes, objective setting, observation skills, data-gathering skills, interviewing and report writing. The training should also focus on helping appraisers to develop a respectful, open and trust-based relationship. However, in considering the training needs of teachers, Rees and Porter (2004:33) argue that it is particularly important to recognize the dangers of “wish lists” and the potential for conflict between individual and organizational objectives. They propose that a way of identifying realistic needs is to make a comparison between the potential return and the cost of training. This process would help to establish that planned training is not simply an expense but a necessary investment.

### *Lack of ongoing performance feedback*

Feedback is the exchange of information about the status and quality of



work products. Ongoing performance feedback serves at least three purposes. Firstly, it reinforces the appropriate actions of appraisees (Longenecker, 1997:214). Secondly, periodic feedback sessions give the appraisers and the appraisees multiple opportunities to calibrate and recalibrate their joint efforts (Lee, 2006:112). Thirdly, frequent interaction and information exchanges help to build relationships (Lee, 2006:112). When big challenges present themselves, an environment of dialogue and trust may already be established which makes it easier to discuss and deal with real issues. Since mid-year or annual corrections are too infrequent to manage performance optimally, ongoing performance feedback is required for increased productivity and successful partnership. It provides a road map to success and motivates, supports, directs, corrects and regulates work effort and outcomes. In short, it makes for a more meaningful performance appraisal (Longenecker, 1997:214).

#### *Appraiser lacks actual hands-on information on appraisee*

Without a working knowledge of the actual behaviour of the appraisee and their contribution to the organization, the appraisal review process obviously breaks down (Longenecker, 1997, 214). On one side, although appraisers need to evaluate the performance of appraisees by using specific performance variables, they lack

knowledge of the processes, behaviours and circumstances that either contribute to or impair performance in these areas. On the other hand, appraisees want their appraisers to be aware of what they are attempting in order to get results so that their appraisers do not hover over their every move. In order to solve this dilemma, appraisers rely heavily on an overall “impression” of how well appraisees are performing. In the qualitative study, the respondents reflected that their appraisers tended to give them nearly average assessments which may not necessarily reflect their actual performance. Without some degree of awareness and understanding of the specific actions of appraisees, the meaningfulness of the appraisal process as a developmental experience suffers (Longenecker, 1997:214).

#### *Lack of focus on development or improvement*

The focus on formulating development action plans goes a long way in demonstrating the concern and commitment of the appraiser to the development of the appraisee and the viability of the organization. Some appraisers are quick to criticize but are reluctant to create a development plan of action to enhance performance.

Although there are many development opportunities in schools, appraisees want the input, direction and blessing of their appraisers in formulating development plans.

Coaching supports peak performance (Lee, 2006:113). Weaving cross-training,

special assignments, mentoring, formal classroom education, reading requirements, assessment centres and the like into a formal effort could enhance appraisee performance. When such planning activities are not part of the review, appraisees feel short-changed and a performance improvement opportunity is lost.

*Appraiser lacks rating skills or motivation / Ambiguous and non-genuine feedback*

Both rating skills and motivation are critical to making appraisals effective (Longenecker, 1997:216). To be effective as raters, appraisers must possess specific skills such as performance planning, goal setting, coaching, decision making, interviewing, and conflict resolution. At the same time, they must have the desire to conduct an effective performance appraisal. Harris (1994:739) suggests that there are three determinants of their motivation, namely, perceived rewards, perceived negative consequences, and impression management. In the public sector such as in government-funded schools, the quest for extrinsic rewards such as promotion and bonuses is relatively low. More likely, appraisers value the attainment of intrinsic rewards from engaging in performance appraisal activities, namely, the resulting increased esteem and recognition from appraisees or supervisors. In order to avoid the negative consequences of appraisal, some appraisers are de-motivated. These negative consequences can be summarised into five categories (Harris, 1994:739).

They are damage to the appraiser-appraisee relationships, demoralization of appraisees, criticism from appraisees, criticism from the supervisor or the appraiser, and interference with other tasks. Lastly, impression management activities are ubiquitous in the workplace (Ferris & Judge; Gardner & Martinko; cited in Harris, 1994:741). The behaviour evinced by an appraiser giving feedback may be more influenced by how their behaviour will look to their supervisors than by the anticipated effect on the appraisee. If appraisers are not motivated, they will not give genuine feedback and accurate ratings or engage in careful information processing activities throughout the performance appraisal process such as observation, storage, recall, and integration (Hausenstein, cited in Harris, 1994:742). It is suggested that ongoing rater training, more effective rating instruments and procedures, a more effective top-down approach to ratings, the use of self-appraisal and greater human resource management support in improving the process may all help in overcoming these problems.

#### *Review process lacks structure and substance*

The ultimate goal of the performance review process is to develop appraisee performance (McAfee and Champagne, 1993:25). The appraiser, the individual appraisee, and the organization all have a responsibility to improve performance.

The performance review process is a time when appraiser and appraisee sit down and reflect on the past twelve months or so to evaluate appraisee performance by measuring the accomplishments of the appraisee, examining the impact of appraisee failures, and analyzing appraisee strengths and weaknesses. It is both the beginning and the end point of the performance management cycle. The analysis of past performance provides the basis for planning expectations for the following year. At the same time, it closes the loop of the current cycle. Appraisees know what to expect and what they must do to achieve the best results. The organization knows what to expect from appraisees and what resources it will have to provide. The lack of structure and substance can come during the written phase of the appraisal process when appraisers rush through the written review and fail to provide specific and detailed examples to support their summary evaluations. Alternatively, the lack of structure and substance can come during the face-to-face performance review that is frequently described with such words as the "non-review review", "the rush job", the "I've-got-the-more-important-things-to-do review" and the "just sign your review and leave it on my desk approach". Appraisees want a structured, formal performance review from their appraisers that evaluates their performance in an objective and systematic fashion (Longenecker, 1997:216). They want time and attention from their appraiser, substantive feedback on their past performance and specific input on

what they must do to improve. When the performance review process lacks these characteristics, cynicism, frustration and tension frequently follow.

*Not having clearly established performance criteria or not having effective rating instruments / Subjective assessment of performance*

The performance criteria used to judge and evaluate the performance of appraisees and the rating instruments should be tailored to capture critical desired behaviours and outcomes with corresponding meaningful standards and metrics. Although there is a moral and professional pressure to evaluate appraisees in an objective, consistent and fair way, subjectivity in assessment cannot be eliminated completely. Since assessments occur in the cognitive process of an individual human being, it is, by definition, subjective. Any rating is only an indication of how the appraiser applies a fuzzy criterion (Van der Heijden and Nijhof, 2004:493). The respondents in the qualitative study echoed that the interpretation of assessment criteria varied with individuals. Different appraisers give different ratings to the same performance and this leads to a high number of disputes between appraisers and appraisees. Harmonious relationships between teachers may be destroyed and teamwork negatively affected.

Recently, there is a tendency towards the use of multi-rater or 360-degree appraisal of performance as a way of increasing the surface objectivity of individual assessment (Van der Heijden and Nijhof, 2004:494). The rationale behind 360-degree appraisal is that different evaluation perspectives offer unique and valuable information and this adds incremental validity to the assessment of individual performance (Borman, cited in Van der Heijden and Nijhof, 2004:493). Van der Heijden and Nijhof (2004:494) point out three reasons to explain why 360-degree appraisal cannot increase the objectivity of assessment. Firstly, assessment always occurs in the head and therefore is always subjective. So, judgements of more or less subjectivity or objectivity are in fact impossible. Secondly, involving other people in the rating process to ensure fairness and consistency is based on the idea that subjectivity plus subjectivity plus subjectivity equals objectivity. If one rater can be unfair and inconsistent, then so can another. Thirdly, there are three related problems in the construction and use of criteria. A genuinely shared understanding of the meaning of concepts is very rare indeed. The extent to which those assessed have any involvement in constructing criteria is very rare. The relationship between appraiser and appraisee is mediated by the specific use of criteria and by the outcomes of the appraisal process. If one group of raters interpret the text of an item differently from another group, the resulting differences in

the ratings may be the interpretative difference elicited by that item. However, the researcher agrees with the idea that subjectivity plus subjectivity plus subjectivity equals objectivity. Although involving more raters cannot completely eliminate the subjectivity of the individual appraiser, the chance of unfair and inconsistent assessments can be greatly reduced.

#### *Lack of trust and confidence between appraiser and appraisee*

Trust is a multi-component construct with multiple dimensions that vary in nature and importance according to the context, relationship, tasks, situations and people concerned (Hardy and Magrath, cited in Zeffane and Connell, 2003:4). It is described as the “social glue” or “social lubricant” that can hold diversified, global organisational structures together (Atkinson and Butcher, 2003:282). Although there is no ubiquitous definition of trust, it can be defined as “one party’s willingness to be vulnerable to another party based on the belief that the latter party is competent, open, concerned, and reliable” (Mishra, 1996:265). In this sense, trust is synonymous with confidence and the absence of suspicion, confirmed by a track record of consistency, kept promises and an ability to correct negative behaviours. If the working relationship is not based on trust, mutual respect, two-way communication and a shared sense of commitment, the appraisal review process will lack credibility and



effectiveness. The absence of these qualities breeds doubt, cynicism, and suspicion on the part of the appraisee. Also, when trust declines, people become reluctant to take risks, demanding greater protection against the possibility of betrayal and increasingly insist on costly sanctioning mechanisms to defend their interests (Tyler and Kramar, 1996:4). In the qualitative study, the respondents echoed that lack of trust created additional disputes that easily escalated into conflict. This devastates teamwork. As a result, teachers then tend to collect and keep as many written records as possible, which consolidate an atmosphere of distrust and create extra workload in appraisal.

### *Insufficient time*

Both appraisers and appraisees may lament the amount of time it takes to conduct a comprehensive review. Discussion takes time. If time is not deliberately built into the process, failure is assured. Sufficient time is crucial in carrying out the appraisal process properly and effectively. Teachers consider that it is counterproductive to spend class time on the appraisal process. They may also feel resentment if they are using their “free” time because they may already be under stress. Respondents 2, 4, 8, 12 and 17 from the qualitative study grumbled:

*"There are piles of work waiting for us to work on. It seems that the senior managers in schools forget that the main duty of teachers is to teach. They never give us time to work on the tasks. I will never put appraisal in the top priority. If there were extra "free" time, I would like to work on other more meaningful work."*

According to Piggot-Irvine (2003:175), where appraisal is working well, it is often because senior managers make it a priority in the plethora of management tasks that occur in schools, and middle managers are allocated time to carry it out. It is also apparent that, in these schools, the senior managers themselves fully engage in their own appraisal, that is, they model that it is worthy of a high priority in their time management. There are at least four suggestions that can be considered to provide time for appraisal. Firstly, shorter and more frequent appraisal reviews could replace the one annual review. Secondly, issues are dealt and reviewed in "real time". Thirdly, schools timetable specific teacher-only days for appraisal. Fourthly, schools gain consent to open later or close earlier to allow time for appraisals to be carried out. Piggot-Irvine (2003:176) concludes that until the issue of overload is addressed and both senior managers and middle managers are allocated time to manage appraisal,

there will continue to be not only highly stressed staff in schools but also poorly implemented approaches.

### *Insufficient human resources*

People are the greatest asset of an organization . They drive the organization. Without people, everyday school functions such as classroom teaching, and dealing with parents cannot be completed. In teacher appraisal, appraisers have to collect factual and objective information if the appraisal process is considered a valid, fair, rigorous and reliable approach to managing the performance of staff (Piggot-Irvine, 2003:172). The collection of objective information requires considerable human resources and the lack of objective information can be linked to a lack of transparency, subsequent iniquitous decision making and injustice in summative decisions. Also, effective performance appraisals are instrumental in identifying ways to help individuals improve in their current position and prepare for future opportunities through training and development. Training and development activities also require a lot of human resources. Therefore, insufficient human resources are one of the problems in implementing the mandatory teacher appraisal scheme.

### *Over-critical or hindsight reviews*

One prominent feature of ineffective managerial reviews is to dwell only on the negative aspects of the performance of the appraisee. Negative feedback is unavoidable, yet it can be a positive element in helping appraisees to grow and improve. Appraisees understand that there is always room for improvement but when the appraisal review is only negative and critical, the process becomes counterproductive. Frequently, this heavy dose of negative feedback comes on the heels of receiving little or no feedback throughout the year. The overly negative review becomes an event to be dreaded by appraisees rather than being a performance- and development-enhancing vehicle. Deming and other experts argue that giving constructive criticism, even when it is accurate, can cause performance to spiral downward because of the emotional reaction of appraisees to the criticism (Lee, 2006:113). Appraisees want feedback delivered in a coaching fashion with clear empowerment plans. Coaching supports peak performance and helps to build and maintain a relationship with appraisees that is a partnership rather than adversarial. In addition, hindsight is not always appreciated unless it comes from someone appraisees trust, respect and believe has their best interests in mind (Longenecker, 1997:214). When appraisal reviews are conducted in a negative atmosphere with a

second-guessing attitude on the part of the appraiser, the common responses of appraisees are defensiveness, bitterness, a poor attitude, and frustration.

### *Perceived political reviews*

Theoretically, the performance rating of appraisees should be based on and accurately reflect their actual performance. However, appraisers may deliberately distort and manipulate appraisals for political purposes (Longenecker et. al., 1987:183). Politics refers to deliberate attempts by individuals to enhance or protect their self-interest when conflicting courses of action are possible. Political behaviours therefore represent a source of bias or inaccuracy in teacher appraisal. Longenecker et. al. (1987:184) find that appraisers are more concerned with the consequences of the rating than whether or not their ratings accurately appraise performance. They may be motivated to manipulate ratings as a means to satisfy personal goals and to accommodate contextual demands. Appraisers may inflate or deflate ratings depending on the need to achieve certain goals (Poon, 2004:323). On one side, appraisers may inflate ratings to maximize the merit increases of appraisees, to avoid confrontation over lower performance ratings, and to avoid creating a permanent record of poor performance in the personnel file of the appraisee. On the other hand, they may deflate ratings to shock an appraisee back to higher performance,

to teach a rebellious appraisee a lesson, and to pressurise an appraisee to leave the organization. When appraisees perceive that potentially political factors are part of the ratings, their reaction is usually negative, such as lowering job satisfaction. Appraisees may not perceive political ratings tilted in their favour for what they really are. But when they perceive that political ratings result in performance ratings that are lower than what they believe they should receive this generates a negative response. Since the attitude and behaviour of people are determined by their perception of reality and not reality *per se* (Lewin, cited in Poon, 2004:324), perceived political performance ratings may be unintentionally created by ineffective rating practices such as unclear performance standards, poor working relationships, lack of hands-on information of appraisee performance, and lack of ongoing feedback (Longenecker, 1997:215).

#### *Insufficient financial resources*

Financial resources management is a prime means by which policy is implemented (Gray, 1984:224). Within schools, some practices may be encouraged or discouraged through the availability of financial resources. Clearly, setting and allocating budgets and resources for each objective of the organization enables the organization to improve efficiency, focus resources, and adapt more quickly to change

(Stiffler, 2006:18). Financial resources are one of the most important resources required to achieve the objectives of an organization. Money can reward good performance and so motivate appraisees. Pay for performance sends a clear message from senior management that the contributions of appraisees are valued and appreciated. However, tying money to appraisals increases the tendency towards distortion and politics (Longenecker, et. al., 1987:185). However, this is not a reason to drop the idea. Rather, it suggests that the issue be addressed. In addition, money can purchase human resources to support training and development for teachers. Also, the money can be used to improve the physical environment or purchase equipment for appraisal reviews. Lastly, money can buy time so that both appraisers and appraisees have more time to focus on the appraisal process.

#### *Teachers not taking appraisal seriously*

Timplerley (1998:51) finds that “teachers not taking appraisal seriously” is the most common reason for the ineffectiveness of the appraisal scheme in New Zealand. There is an argument that teachers do not take appraisal seriously if they do not fully identify with the mandatory teacher appraisal scheme. They may perceive that the scheme is not effective for school improvements or for the professional development of teachers. Three probable reasons may account for their

unfavourable attitude towards the appraisal scheme. Firstly, teachers worry about the genuine purpose of the scheme. They guess that the genuine purpose is to improve student achievement, to eliminate incompetent teachers, or is a tool for school politics. Secondly, the appraisal scheme poses a threat to the self-esteem and reputation of teachers, especially veterans. They are not prepared for a rigorous evaluation and appear challenged by the demands of the teacher appraisal scheme. As pointed out by the respondents in the qualitative study, some teachers have psychological burdens about others appraising them because traditionally they are regarded as superior and more knowledgeable in traditional Chinese society. Thirdly, teachers are seldom involved in the design of the appraisal scheme and the construction of assessment criteria. They perceive that many parts of the scheme are unfair, such as the content and application of the standards, communication, the appraiser, time demands, and training. It seems likely that concerns about the fairness of results will loom larger if serious stakes are attached to these results.

Milanowski and Heneman III (2001:207) argue that teachers are significantly more favourable towards the appraisal system when they accept the teaching standards, see the appraisal process as fair, view their appraisers as capable and objective and see that the appraisal system has a positive impact on their teaching.



They suggest that the way the principals or assistant principals manage the appraisal process influences teacher reactions. Where administrators schedule a lot of observations in a short period, where feedback is delayed or minimal, and where there is a perception that administrators do not have a collaborative attitude, and are not qualified to evaluate, teacher reaction is more negative. Administrator behaviours that appear to be associated with positive reactions include providing timely feedback, adapting the standards to the school or subject, and providing guidance and reassurance. Teachers will perceive that the mandatory appraisal scheme is effective for school improvements or teacher professional development.

#### *Incomprehensive and non-continuous assessment of performance*

It is essential that there is objective appraisal of all the key aspects of the job if the process is to be valid, fair, rigorous and reliable. Instead of relying on a single source, information for performance appraisals can be collected from different sources such as supervisors, peers, subordinates and customers. This type of appraisal is known as 360-degree appraisal or multi-rater appraisal. It provides appraisees with information not otherwise available, and ensures that raters are in the best position to observe certain types of behaviours and are the ones to evaluate that behaviour (van der Heijden and Nijhof, 2004:494). Also, since one of the objectives

of teacher appraisal is to provide feedback that fosters teacher growth and development, a continuous performance-based feedback process should exist between appraisers and appraisees in an effective appraisal scheme (Henderson, 1984; Meyer, 1991; cited in Coutts and Schneider, 2004:69). Assessment should start at the beginning of the cycle and be carried out on a continuous basis. This will provide a more balanced view and will greatly reduce the work during the actual reporting period. In addition, regular feedback will enable staff to focus their efforts. When both the appraiser and the appraisee have a clear understanding, completion of the appraisal at the end of the period will come more naturally.

#### *Lack of follow-up*

In order to have an effective appraisal scheme, it is essential that there are follow-up actions on the agreements made at the appraisal interview. Action steps should be set in place as soon as practicable. This ensures that things are done as planned. Follow-up actions may be the responsibility of both appraisers and appraisees. The appraisees should follow up the tasks or activities which they propose undertaking over a timescale agreed with their appraisers. The appraisers should be responsible for providing feedback to the appraisees and for following up on action points that involve themselves, specifically where the resources required are

beyond the personal resources of the appraisees. In teacher appraisal, follow-up may not occur because personnel have not received proper training in setting, monitoring and evaluating goals. They may set goals that cannot be achieved or cannot be measured, or they do not know how to evaluate and provide useful feedback on goal achievement. If there are no follow-up actions from appraisal, appraisees will not perceive the purpose of appraisal, for either accountability or professional development, being sufficiently important to justify the time expended (Gratton, 2004:295). The respondents in the qualitative study explained that the lack of follow-up actions made appraisal a meaningless exercise because there were hardly ever any improvements.

#### *Not assessing the normal/realistic events or issues*

It is normal and understandable that all appraisees want to receive favourable ratings in their performance appraisal. They would also like better preparation for all appraisal activities. What appraisees say and do in appraisal activities, such as in lesson observations, are most likely to be different from what they normally say or do. For instance, if an appraisee knows the appraiser favours more student engagement, the appraisee may be more likely to teach towards engagement when the appraiser is present than he or she normally would. Therefore,

appraisers cannot assume that the events they observe are similar to those they do not see. In the qualitative study, Respondent 19 explained:

*“The behaviours of both teachers and students are tailor-made for the assessing purpose in appraisal. Both teachers and students may behave differently in normal situations. The student assignments submitted for assessment in appraisal may be purposely selected and marked. Appraisal cannot reveal the “true picture”.”*

If appraisers want to assess normal /realistic events or issues, they need to sample events across different times, subjects, teachers, or whatever dimensions are relevant to the appraisal process.

#### *Psychological burden of teachers*

In traditional Chinese society, the teacher is regarded as all knowing and is the sole provider of knowledge. As part of their cultural upbringing, Chinese learners are brought up to respect teachers and those who provide them with knowledge (Nield, 2004:190). Teachers expect to set rules rather than have others evaluate them. Appraisal schemes may pose a threat to the self-esteem or reputation

of teachers. Also, an open and confrontational appraisal system requires frank discussion of performance and feedback, but appraisers may hold back in order to maintain an existing harmonious relationship with subordinates. If that is so, then the appraisal system does not provide feedback that improves performance or motivates appraisees. It is highly likely to lead to the withholding of criticism and unvoiced resentment.

#### *Lack of capable and "quality" appraiser*

A capable and "quality" appraiser can alleviate various kinds of implementation problems such as communication problems, concerns about fairness and procedural compliance. The respondents in the qualitative study explained that only capable and quality appraisers can transform the spirit of appraisal into quality appraisal activities. More significantly, a capable and "quality" appraiser can develop educative interactions with appraisees. In educative interactions, there is shared control, shared thinking, shared evidence, sharing planning and monitoring between appraiser and appraisee, leading to appraisers having more confidence in helping appraisees confront and resolve problems, if they arise (Piggot-Irvine, 2003:176). The educative interactions can create trust, shared rather than hierarchical control, and therefore an open relationship. Such an open and bilateral

relationship should enhance the potential to confront problems rather than avoid them.

The confronting of problems, in turn, should lead solving these problems. Problems solved should mean that appraisal results in improvement outcomes for learning, teaching and management. Piggot-Irvine (2003:176) argues that helping appraisers develop an educative relationship is an essential feature of all appraisal training.

### *Lack of built-in appeals mechanism*

Appraisees may come out of an appraisal interview feeling aggrieved at the conduct of the appraisal. In these situations, or where the two parties of the appraisal fail to agree, the question arises as to what should happen. The appeals mechanism allows appraisees to request that any scaling or adjustment applied to them be re-considered. The intention is to ensure a fair and accurate assessment of appraisee performance. Appealing mechanisms span through a continuum. At one extreme, there are no prescribed methods for resolution and some *ad hoc* response is found whenever it is needed. At the other extreme, there is a formal appeal or arbitration board to which the appraisees can launch their complaints. In Hong Kong, the EMB (2004c:7.7.2) recommend that an appealing mechanism should be in place whereby appeals are dealt with by the School Management Committee (SMC) or a committee it appoints, and those involved in the appraisal, i.e. the appraisees and

appraisers, should not serve on the committee. However, some schools do not have established formal procedures for handling appraisees' appeals (Public Accounts Committee, 2004:218). The respondents in the qualitative study reflected that appraisees were very often forced to accept the assessment results even though there were disputes. This destroys the harmonious relationships between appraisers and appraisees and undermines the morale of teachers.

### 6.3 Impact of Chinese Cultural Dimensions on the Appraisal Process

#### *High Power Distance*

In a society with high power distance such as Hong Kong, there is a greater tolerance for inequality and a greater respect for authority characterises relationships. Centralization, authoritarianism and paternalism are more common and those of a lower rank are not expected to challenge authority openly or to participate in decision making (Kirkbride and Westwood; Redding and Wong; cited in Snape, et. al., 1998:843). Where there is formal performance appraisal, the process is less participative, more top-down and judgemental and appraisers are more likely to dictate performance standards (Kirkbride and Westwood, cited in Snape, et. al., 1998:844). This emphasis upon hierarchy makes it difficult to have a meaningful dialogue on the performance difficulties of an appraisee, since the appraisee is

expected to passively receive the assessment of the appraiser rather than actively participate in the discussion. Besides, the negotiation between appraisers and appraisees for setting mutual goals does not work well in a high power distance culture because both appraisers and appraisees feel uncomfortable. Also, peer appraisal may not be feasible because the traditional authoritarian leadership style implies that only superiors are considered qualified to evaluate the performance of subordinates. One suggestion is to avoid using too many objective but tedious performance appraisal procedures or techniques in a high power distance society. Since the appraisees have a higher tolerance for subjectivity in a high power distance society, they will not mind receiving subjective evaluations from appraisers as long as they can trust them. Moreover, they feel more comfortable with a straightforward form of appraisal, even if it means some loss of precision or sophistication. There is a suggestion that participation in the performance appraisal procedure ought to be encouraged if and only if the appraisees have shown an interest in it.

#### *Low Uncertainty Avoidance*

Western models of appraisal emphasize explicit appraisal criteria and inter-rater reliability in order to achieve fairness and objectivity. When employees receive direct feedback, usually from their superiors, their performance will improve.



However, in societies with low uncertainty avoidance, performance assessments tend to be informal and performance is defined in terms of personal characteristics, such as loyalty and obedience, rather than outcomes (Hempel, 2001:204). This creates a high level of upward dependence and a disempowering of subordinates. Besides, the respondents in the qualitative study suggested that low uncertainty avoidance left room for different interpretations. This can intensify the tension between appraisers and appraisees, and may ruin their collaborative relationships. Also, the giving of direct feedback can destroy the harmony, considered so important in governing interpersonal relationships. The appraisees may lose “face” and their personal loyalty to the organization. There is a suggestion that teacher appraisal in Hong Kong’s schools may need to be adapted from Western approaches which rely on direct face-to-face feedback between appraiser and appraisee (Dimmock, 1998:374). Feedback may be given indirectly, through the withdrawing of a favour, or via an intermediary person trusted by both supervisor and employee (Hofstede, 1995:157). Also, there is a suggestion that there is a greater emphasis on peer appraisal. However, as mentioned earlier, the high power distance cultural dimension may present obstacles to the implementation of peer appraisal because the traditional authoritarian leadership style implies that only superiors are considered qualified to evaluate the performance of subordinates.

## *Collectivism*

Western models of appraisal not only assume direct feedback, open communication and a more equal relationship between superiors and subordinates, but also that organizational members see themselves as individuals rather than as team or group members (Dimmock, 1998:373). In individualist cultures, people put an emphasis on standing out and distinguishing themselves from others through self-sufficiency and personal accomplishment (Qu and Zhang, 2005:76). However, people who live in collectivist cultures underline meeting social obligations and responsibilities in order to maintain interpersonal relationships and group harmony. This means that superiors tend to avoid openly criticizing their subordinates, and that loyalty and group orientation assume greater importance. Thus, performance appraisal, with its focus on individual performance and accountability and open confrontation, may be less appropriate in a collectivist society (Snape, et. al., 1998:843). A performance appraisal system designed to measure teamwork, rather than individual work performance, may be more appropriate in a collectivist society such as Hong Kong.

## *Neither Masculine nor Feminine (Unity of masculinity and femininity)*

Traditional Chinese culture is described as neither masculine nor feminine

but emphasises both. Low masculinity implies that the orientation of employees is towards people or personalized relationships rather than towards performance (Mendonca and Kanungo, 1996:70). Satisfying affiliation needs takes precedence over the satisfaction derived from achieving job objectives. Low masculinity can contaminate the inter-personal process as individual relationships are personalized rather than contractual, and feedback is misconstrued as an attack on the person rather than on observed behaviours. Furthermore, the evaluation of performance will always be problematic because the appraisee believes that loyalty to their superior is more important than meeting the contractual obligations of the job. However, the respondents in the qualitative study suggested that high masculinity might not be desirable either even, although it offered greater autonomy and responsibility for teachers. Respondent 4 explained:

*“Education is a human activity and teachers could not have full control over student outcomes. There are no definite and absolute cause-effect relationships as in the natural sciences. It would be too cold and inhumane if appraisal focuses only on results.”*

Therefore, the respondents from the qualitative study suggested that the emphasis on

both the process and the outcome was more reasonable and would be more widely accepted by teachers.

#### 6.4 Impacts of some Chinese values on the Appraisal Process

##### *Emphasis of harmonious relationships and conflict avoidance*

In a Chinese cultural setting, harmony is found in the maintaining 'face' for everybody in the sense of giving dignity, self-respect, and prestige (Qu and Zhang, 2005:74). Always seeking a compromise, rather than a confrontation, helps to maintain harmony and save face. People try to avoid situations that can lead to a loss of harmony, and the performance appraisal process certainly qualifies as such a situation. Giving direct feedback can destroy the harmony considered so important in governing interpersonal relationships. Concerns about harmony and hierarchy make open and frank discussion of performance problems difficult, particularly since performance judgements also have strong moral judgement overtones (Hempel, 2001:210). Also, conflict avoidance behaviour can result in a narrow range of average to high ratings in the majority of employee appraisals. In avoiding awarding poor ratings and not counselling underperforming appraisees, appraisers may undermine the performance appraisal system rendering the attainment of a high performance culture unrealistic. However, the emphasis on harmonious

relationships and conflict avoidance enhances collaboration and teamwork.

Respondent 16 in the qualitative study explained the importance of harmonious relationships:

*"The relationship between appraiser and appraisee is not a one-off.*

*They have a lot of opportunities to interact and cooperate in future. A*

*holistic view should be adopted to maintain the harmonious relationship*

*in performance appraisal. Without a harmonious relationship, the*

*routine functioning of a school may become problematic."*

#### *Concept of face saving*

"Face" (*mianzi*) is the social status that an individual has, and a person's face will have an effect on their ability to influence others (Hempel, 2001:208).

Since face is a form of social currency, it is important to carefully consider how teacher appraisals will influence the face of appraisees. It is therefore particularly important that performance reviews are private, since a poor review in public will cause an appraisee to lose face. It is for this reason that the Chinese tend to avoid the possibility of confrontation and the loss of face for an appraisee that could result from a formal appraisal process. This concern with face also makes it difficult to

publicly act upon performance problems. Some research indicates that Chinese individuals are more likely to blame their own problems upon external factors (Stipek, et. al., cited in Hempel, 2001:208). Since the outcome is due to things outside the control of the individual, the poor achievement will not lead to a loss of face. Such a defensive reaction is natural and occurs in all cultures, but appears to be stronger and more formally ritualized in Chinese culture than Western culture. On the other hand, appraisers need to be extremely careful in giving feedback, especially negative feedback. They must have sufficient evidence and grounds to justify their feedback, positively reframe the negative feedback and follow correct procedures. This may then increase the credibility of the appraisal scheme. Also, the respondents in the qualitative study suggested that only a skilful and sophisticated appraiser can transform the fear of the appraisee losing face into motivation to improve performance .

*Emphasis on connection (guanxi) and human feelings (renqing)*

The common definition of “connection” (*guanxi*) is a special relationship between a person who needs something and a person who has the ability to give something (Fan, 2002:371). Connection is personal, intangible, reciprocal, transferable, and utilitarian. In a connection relationship, both parties are required to

carefully observe certain unspoken rules of reciprocity and equity. By disregarding or violating these unspoken rules, an individual can seriously damage their reputation, leading to a humiliating loss of prestige or face. “Human feeling” (*renqing*) is an unpaid obligation to the other party as a consequence of invoking the connection relationship (Luo, 1997:45). It provides leverage during interpersonal exchanges of favours and instrumentally ensures a smooth interaction between different parties. Developing human feeling (*renqing*) is a precondition for the establishment of connection and a consequence of using it to one’s advantage. When people weave their connection networks, they are also weaving a web of human feeling obligations that must be “repaid” in the near future (Hwang, cited in Luo, 1997:45). In performance appraisal, the emphasis of connection and human feeling has at least two negative consequences. Firstly, connection, by its very nature, discriminates against people outside the connection network. This is against the principle of fairness as people have a right to fair, impartial and equitable treatment and so seriously undermines the teacher appraisal scheme. Secondly, connection is all about exchanging favours, especially obtaining “special treatment” from those who are in power. “Special” means to bend or break rules, to act against one’s moral conscience or act illegally. Individuals and organizations that stick to ethical standards will suffer as a result of unscrupulous connection practices. Where some

individuals gain via connection, society in general loses. Nevertheless, a few respondents in the qualitative study argued that connection and human feeling can provide a lubricant for the smooth functioning of the appraisal scheme. However, if anyone obtains personal gains through connection activities at the expense of others, this connection is considered unethical even if they do not break the law. Certainly, education professionals and the general public will not and should not accept such unethical acts.

### *Emphasis on reciprocation*

Reciprocation is a characteristic feature of most exchange relationships. The notion of “doing unto others as they do unto you” has been a guiding humanistic principle underlying the social morality of many societies and cultures for thousands of years. In traditional Chinese culture, people stress the importance of reciprocity and of cultivating good feelings as a social resource in relationships (Qu and Zhang, 2005:75). Reciprocity involves not doing to others what you would not want done to you, being happy when others are happy and sad when others are sad. What reciprocity means, ultimately, is that the economy of favours between two individuals or units remains in rough balance over time. If someone does a favour for a friend, they feel they are due a favour in return. In traditional Chinese culture, people will



not only grant favours to friends who request them, but they will sometimes grant favours that are not requested, with the idea that they can use them to justify payback some time in the future. The emphasis of reciprocation may create biases in performance appraisal. Assessment outcomes may be influenced by the reciprocal relationship between appraiser and appraisee towards the exchange of benefits. This will produce a negative impact on the reliability and validity of assessment. Nevertheless, the respondents in the qualitative study argued that reciprocation might impose a check and balance mechanism on the appraisal process, at least psychologically. It is alleged that this may force appraisers to be more open and encourage the mutual learning of appraisers and appraisees.

#### *Emphasis on trust between friends*

Atkinson and Butcher (2003:290) contend that trust exists in two forms, impersonal and personal. Impersonal trust is based on roles, systems or reputation from which inferences are drawn about the trustworthiness of an individual. Personal trust is based on interpersonal interaction with a particular individual within a particular relationship. For instance, when someone says that they trust a doctor that is not quite what they mean. Rather, they mean that they have confidence in the abilities of the doctor and in the system that awarded the degree of the doctor. Given

the task-based nature of much managerial work such as performance appraisal, from a practical perspective, impersonal trust may be all that is required. The respondents in the qualitative study contended that the emphasis of trust between friends in teacher appraisal might confuse personal relationships with working relationships. The outcomes of appraisal may depend on friendship rather than performance and appraisal of performance may turn into appraisal of the individual. Also, there is a suggestion that managing managerial relationships is a delicate balancing act.

Complete lack of trust, total trust, very high levels of affective attachment, enduring social reliance, destructive mistrust and betrayal, are not appropriate or positive for organizations. Indeed, negotiation theory suggests that a middle ground, “tentative trust”, tends to yield outcomes that are more favourable for managers than either extreme trust or mistrust (Fisher and Ury, cited in Atkinson and Butcher, 2003: 298).

#### *Emphasis on respect for age and seniority*

At a conceptual level, the proposition that the longer someone holds a job the more proficient they become at performing that job appears quite reasonable (Jacobs, et. al., 1990:107). However, clearly, the job performance of an employee will not increase indefinitely with an increase in seniority. The researcher suggests that the job performance of an employee will follow the typical sigmoid curve, which

many biological systems exhibit. In the beginning, employees need to learn and adapt to their jobs thus their performance will be at a minimal level. After the initial learning or adjustment period, the additional amount of seniority accrued significantly improves the job performance of employees. Finally, the performance of employees will reach a plateau and a further increase in seniority will not improve job performance significantly. In some cases, job performance may even decline. If the performance of the aged and seniors is commensurate with their experience, then there should be respect for age and seniority. What constitutes a problem is that the performance of the aged and seniors is rated higher or lower than they rightly deserve, which creates unfairness in performance appraisal. In the past, the emphasis on age and seniority inflated the performance ratings of the aged and seniors. However, some respondents in the qualitative study claimed that the inflation of ratings for the aged and seniors should not present any problem of unfairness. Respondents 5 and 16 explained:

*“There shouldn’t be any problem of unfairness. All teachers will become aged and senior. All have the opportunities to enjoy the benefit.”*

But, the culture is changing. Some respondents in the qualitative study observed that

very often the aged and seniors were targeted deliberately with a desire to lay them off.

The increasing competitive social environment may partly be attributed to the cultural change. For example, the EMB have put a very strong emphasis on advocating paradigm shifts and innovations in educational reforms, and informally the aged and seniors are considered to be incapable of coping with these new demands.

#### 6.5 Perceived Impacts of the Appraisal Scheme on Teaching Behaviours

One of the espoused aims of appraisal is to increase performance effectiveness and, in the case of teaching, the focus is mainly on classroom performance (Healy, 1997:214). Appraisal may lead to better teaching because performance appraisal enhances self-reflection of the job and the application of strategies to improve teaching performance (Odhiambo, 2005:407). Therefore, the long-term impact of teacher appraisal on teacher performance depends on how far it is integrated with staff development. The improvements in teaching are achieved largely through the feedback from students and appraisers, as well as through an examination of personal strengths and weaknesses that are shaped to effect performance, specifically in the area of teaching. Earley et. al. (1990, cited in Lam and Schaubroeck, 1999, p447) distinguishes two types of feedback, outcome feedback and process feedback. Outcome feedback concentrates on providing information on

specific performance outcomes while process feedback provides information on the manner in which an individual implements a work strategy. Both outcome and process feedback are expected to positively influence performance. By identifying the difference between targeted and actual work results, outcome feedback helps motivate and direct actions to adjust performance strategies. However, since outcome feedback itself does not provide information concerning how the outcomes are achieved, appraisees are not equipped to learn what appropriate adjustments are required. Process feedback, on the other hand, focuses on the behavioural processes that generate outcomes and hence facilitates the formulation of more effective task performance strategies. Some respondents in the qualitative study reflected that the implementation of the teacher appraisal scheme might not necessarily improve teaching behaviours. Some teachers teach in accordance with their core educational values regardless of the feedback received. The implementation of the mandatory teacher appraisal scheme would not change their routine teaching behaviours. Even worse, a few respondents in the qualitative study argued that the appraisal scheme produced a negative impact on teaching behaviours. They explained that recently educational reforms had called for a lot of new initiatives and changes such as school-based assessment and wide-life learning. These new initiatives and changes increase the non-teaching workload of teachers and so de-motivate them. Appraisal

may be perceived as another burden which reduces the teaching time and capacity of teachers.

## 6.6 Perceived Impact of Appraisal Scheme on Relationships

### *Appraiser-Appraisee Relationship*

The perceived impact of the appraisal scheme on the appraiser-appraisee relationship may be affected by the frequency of assessment and the outcomes of appraisal. If the frequency of assessment is too low, it is hard for the appraisal scheme to have an impact on the appraiser-appraisee relationship. Also, a positive outcome of appraisal will generally produce a positive impact on the appraiser-appraisee relationship while a negative outcome will produce a negative impact on the appraiser-appraisee relationship. For instance, when an appraiser focuses on praising positive aspects of job performance, the appraisee may perceive that the appraiser is saving face. Friendship may begin to develop and a connection (*guanxi*) between them may form. Improvements may then take place in some of the unmentioned negative areas. However, if the outcome of appraisal is not favourable, the appraisee may be unhappy. They may feel they are losing face and be de-motivated. The harmony in the relationship between appraiser and appraisee may be ruined and future cooperation may become difficult. In fact, a poor relationship

between appraisers and appraisees is one of the negative outcomes frequently mentioned by teachers (Odhiambo, 2005:407).

### *Teacher-Student relationship*

A good teacher-student relationship is a strong motivator and indicator of effective student learning (Hammer, 2005:4). For example, showing concern for students, having a positive attitude toward students, and wanting students to succeed are related positively to how students self-report their own motivation. If improving student learning outcomes is one of the most important objectives of teacher appraisal, teachers should pursue a better teacher-student relationship. There is a suggestion that if the teacher-student relationship is included in the assessment criteria, teachers will try harder to establish a better relationship with students. However, there are difficulties in including the teacher-student relationship in appraisal because secondary school students may not be mature enough to assess their teachers. Although there are a lot of problems and difficulties, the teacher-student relationship should be included in the assessment criteria. For example, in one school, the number of gratitude cards received by individual teachers is one of the assessment criteria used in teacher appraisal.

### *Teacher-School relationship*

The impact of the teacher appraisal scheme on the teacher-school relationship largely depends on the perceived purpose of the appraisal scheme. If teachers perceive that the appraisal scheme is mainly used to control or that there are any hidden agendas such as performance related pay, defensive responses such as increased resistance, compliance, threat, cynicism and avoidance may result. Loyalty and commitment to the school will certainly diminish. However, if teachers perceive that the purpose of the appraisal scheme is mainly for teacher development, they will be more willing to engage and commit to appraisal activities. The appraisal scheme will have a greater chance of success, and the school-teacher relationship is less likely to be spoiled.

### *Peer Relationship*

Under the influence of traditional Chinese culture, teachers are more collective and value harmony in personal relationships. Where there is no conflict of interest, teachers are inclined to build up favourable social relationships with other teachers. Implementation of the teacher appraisal scheme may lead to empathy and nurture friendships among peer teachers and usually produce a positive impact on peer relationships.



### *Teacher-Community Relationship*

The nature of impact on the teacher-community relationship may depend solely on whether the teacher-community relationship is included in the appraisal assessment criteria. In the past, most schools did not put too much effort into building good school-community relationships. Teachers were not encouraged to invest their time in establishing teacher-community relationships. However, the attitude of most schools has changed recently. Since the population of students has decreased dramatically, there is keen competition for student enrolments among schools. Most schools are beginning to encourage teachers to be involved in more community activities and commitments. The purpose behind active involvement in community activities and commitments is to build up better teacher-community relationships which are conducive to school marketing. If the teacher-community relationship is included in the assessment criteria, it is likely that the impact will be positive.

### 6.7 Perceived Impact on teacher knowledge

#### *Understanding on subject knowledge and teaching-learning process*

In order to produce an impact on teacher knowledge, the appraisal scheme must include different aspects of teacher knowledge in the assessment criteria. The

recognition of the importance of teacher knowledge may motivate teachers to gain knowledge and skills relevant to improving levels of student achievement. In teacher appraisal, classroom observations should be mandatory. The subject knowledge understanding of teachers and the teaching-learning process will largely determine teaching performance in the classroom. There is a suggestion that through classroom observations, teachers will improve their subject knowledge understanding and teaching-learning process. Any negative impact on subject knowledge understanding and the teaching-learning process is likely to be extremely rare. Negative impact may occur only if appraisers do not possess the relevant knowledge and expertise, and force appraisees to implement their unreasonable and unjustifiable comments.

*Understanding on personal strengths and weaknesses and direction for professional development*

In teacher appraisal, the most important single purpose is to inform teachers where they stand concerning their job performance (Wells and Spinks, 1997:95). In appraisal interviews, appraisers have an obligation to comment on the strengths and weaknesses of appraisees and to propose professional development direction for appraisees. When appraisees know where they stand concerning job performance, they can identify areas of unsatisfactory performance and develop ways to improve.

Also, this helps teachers to set career goals and to redirect their thinking when their present goals are met. The identification of strengths and weaknesses assist in establishing the order of priorities for individual teacher development. Consequently, appraisees obtain a better understanding of their personal strengths and weaknesses and their direction for professional development. However, appraisees may perceive that the appraisal scheme does not have any impact if the feedback from appraisers is too general to help them improve, or alternatively no feedback is given. It is likely that any negative impact is extremely rare. It occurs only if the feedback or comments from appraisers are totally invalid and imposed on appraisees.

## 6.8 Perceived Impact on teacher attitudes

### *Reflection*

In teacher appraisal, teachers are always requested to reflect on their own performance. Self-appraisal and reflection act as the cornerstone of the appraisal process. For instance, the appraisal interview provides an opportunity for reflection on previous work with the aim of agreeing plans for the future. The structure of classroom observations may promote self reflection, e.g. having an initial review meeting focusing the appraisal on pre-determined lines. As a result, the implementation of the teacher appraisal scheme frequently produces a positive impact

on teacher attitudes on reflection. However, if teachers perceive that teacher appraisal is a ritualistic process rather than for school improvements, they will not treat appraisal seriously and there will be no impact on their attitude to reflection.

### *Openness to criticism*

In teacher appraisal, there is a lot of evaluation, comment and feedback from others. In the appraisal interview, the conversation between appraiser and appraisee should be a two-way process with constructive and critical comments from both parties. It is a useful time when both appraisers and appraisees can justify their actions and bounce ideas off a professional colleague. As a result, both appraisers and appraisees become more open to criticism. However, some respondents in the qualitative study argued that the implementation of the appraisal scheme did not have any impact on openness to criticism. Respondent 7 explained:

*“Openness to criticism is one of the fundamental personality attributes.*

*It will not change easily unless there have been extraordinary impacts on the person.”*

### *Enthusiasm towards teaching*

If teachers perceive their work as satisfying and meeting their needs, they will be more enthusiastic towards teaching. When teachers perceive that teacher appraisal increases communication within the school, and more cooperation and discussion takes place in the process of appraisal, they will feel more worthwhile as teachers. Arguably, if teacher appraisal ultimately improves the learning of children and benefits the school, teachers will be more enthusiastic towards teaching. Conversely, if teachers perceive that appraisal activities are not relevant to what they should be doing to enhance the learning of students their enthusiasm will decrease. In this research, the implementation of the appraisal scheme produced a slightly positive impact on the enthusiasm of teachers.

### *Morale*

Morale is a unitary concept which is associated with the energy, enthusiasm, team spirit and pride that teachers experience in their school (Hart & Coon, cited in Hart, et. al., 2000:213). High morale coincides with job satisfaction, high work effort, creativity and initiative, a sense of pride in work, a commitment to the organization, and the desire to put the achievement of group goals ahead of personal goals, thereby enhancing the performance of the organization. Low morale typically

corresponds with high absenteeism, high labour turnover, unresolved grievances or strikes and so impedes the achievement of the desired objectives of the organization.

The quality of work life, which is the judgment that teachers make about the extent to which their work is satisfying and meeting their needs, affects morale. There is a positive correlation between teacher appraisal and morale (Linz et. al., 2006:415).

When appraisees perceive that teacher appraisal is effective, their morale will increase.

According to Piggot-Irvine (2003:172), the effectiveness of teacher appraisal occurs when appraisal interactions are non-controlling, non-defensive, supportive, educative and yet confidential. Appraisal processes, with information that has clarity, objectivity and high integrity, and where deep development is a goal rather than a quick-fix expediency also makes appraisal more effective. However, ineffective appraisal practices such as perceived political reviews and unclear performance criteria may lead to low morale.

## 6.9 Perceived Impact on summative outcomes of appraisal

### *Fair and accurate assessment of performance*

Employees who believe they have been treated unfairly are likely to respond with reduced job performance, organizational commitment, or organizational citizenship behaviour, as well as with increased withdrawal behaviours (Colquitt, et.

al., cited in Horvath and Andrews, 2007:203). The lack of fairness may arise from the subjectivity and bias of the appraiser, as well as their lack of skill and the repercussions of opportunities. Perceptions of fairness can be classified into four dimensions, namely, distributive justice, procedural justice, informational justice and interpersonal justice (Horvath and Andrews, 2007:204). Distributive justice is the perception of whether a particular outcome (e.g. pay, a promotion decision) is fair. Procedural justice is the perception of whether the procedures used to arrive at the outcomes are fair. Informational justice is the perception of whether the amount of information provided to an employee about the decision or process is sufficient. Interpersonal fairness is the perception of whether the employee is treated with dignity and respect during the process. In order to limit any adverse impact on appraisees, teacher performance appraisal should be backed by opportunities to scrutinize the basis for decision making and the right of appeal against those decisions which are believed to be unfair. In addition, in order for this transparency to be effective, the criteria used for performance evaluation needs to be clearly communicated. This will help appraisees to clearly understand that the measurement system accurately reflects the true level of performance for every appraisee. However, in most situations, building in fairness and transparency to the performance appraisal process still remains a fairly passive role for the appraisees, whereby they

can check that the system works fairly, but not question the fundamental design of the system *per se*. The performance appraisal scheme is still something which is largely “done to” the individual. The elements of ownership and empowerment are lacking in most circumstances.

Since performance appraisal is defined as a means to “measure progress, differentiate between levels of performance, pinpoint training needs, validate rewards, and identify promotable employees” (Glen, 1990:2), much of the effectiveness of a performance appraisal scheme hinges on the accuracy of the data generated by it. Measuring accuracy requires the development of a standard to evaluate appraisal ratings, and the validity of any accuracy measure depends on the quality of the standard that is adopted (Becker and Miller, 2002:670). Inaccurate teacher appraisal may diminish the link between reward and performance, potentially lead to lawsuits, and inhibit the development of teachers. Although rating biases can err on the side of severity, leniency error is more common. Leniency error can render the entire performance appraisal process worthless. When the link between reward and performance is compromised, top performers cannot be adequately rewarded, and subordinates may become confused or cynical regarding what behaviours are actually being rewarded. When high performance appraisal ratings are assigned for mediocre



performance, supervisors cannot expect performance to improve. Not only will performance not improve but problems that are not addressed in the appraisal process may continue to escalate. If they continue to escalate to a point where dismissal is the only option, there will be no documentation to support any disciplinary action. It is difficult to terminate an employee who has continually been assigned positive appraisal ratings, even if only because of leniency error. This is where the potential for unlawful termination lawsuits arises. In addition, if employees are consistently rated too leniently, opportunities for development are inhibited. The first step in designing a training and development programme is to properly identify weaknesses in the skills, abilities, attitudes, and motivation of employees. Without accurate appraisals, proper identification of developmental needs and subsequent necessary developmental experiences cannot be realized. More accurate needs assessment information should help increase the relevancy of training initiatives. If performance appraisals are accurate, the career of an employee and the outcomes of an organization should be enhanced.

### *Eliminating incompetent teachers from schools*

Research studies reveal that teacher incompetence is a universal problem (Yariv and Coleman, 2005:332). Allegations of incompetence tend to consist of a

cluster of factors, including poor classroom organization, poor class control, low expectations, inability to deliver the curriculum through lack of planning, poor subject knowledge and failure to capture the interest of children (Wragg et. al., 2000:4).

Poor performance on the part of teachers can destroy the efforts of other teachers, other staff members, principals and parents. Teachers are expected to educate students by acting as role models thereby convincing students to follow them. Poor teaching undermines the chances of student success. The importance of good conduct of teachers and the effectiveness of teaching is not only necessary to run the class and school smoothly but also helps teachers and principals attain their goal of student learning.

It is estimated that poor-performing teachers comprise about 5-10 percent of the work force (ERS; Tucker; Yariv; cited in Yariv and Coleman, 2005:332).

Weeding out incompetent teachers appears to be very difficult. It is not the legal aspects that prevent action being taken nor is it the lack of ideas and sound practices.

It seems that excellent teachers are not necessarily rewarded for superior work, and failing teachers are rarely held accountable for poor performance (Dawson and Billingsley, cited in Yariv and Coleman, 2005:332). If a school operates a strict procedure of periodical evaluation with formative and summative feedback, there is a

better foundation to offer assistance or ask a teacher to leave. Proper appraisal helps to substantiate allegations of incompetence and initiates steps toward resignation or dismissal. In principle, capability procedures are widely accepted as being appropriate to deal with situations of sustained under-performance (Torrington, 2005:389). However, principals are reluctant to invoke procedures towards teacher dismissal. There are three probable reasons. Firstly, heads see invoking the procedure as a failure of management. Secondly, heads and others involved in administering steps towards dismissal invariably find the process very long, seriously time-consuming and emotionally debilitating. Thirdly, principals are reluctant to risk an employment tribunal case by dismissing someone on the grounds of capability. There appears to be a well-established culture that teachers will not be dismissed on the grounds of capability and few seem willing to challenge this. If incompetent teachers are not penalized for their poor performance, this has a strong de-motivating effect on other teachers. Therefore, some respondents in the qualitative study argued that the implementation of the mandatory teacher appraisal scheme produced a negative impact on the elimination of incompetent teachers.

### *Influences on managerial decisions and staff promotion*

The summative purpose for implementing teacher appraisal is to

improve managerial decisions such as the assignment of duties, renewal of contracts, and staff promotion and dismissal. Good practices that result from the teacher appraisal scheme may not only enable the personal and professional growth of teachers, but they form the basis for fair and constructive personnel decisions. In teacher appraisal, teacher performance is evaluated and personnel decisions can be made based on the competency of teachers. This may lead to a positive impact on managerial decisions and staff promotion. However, Barlow (cited in Newton and Findlay, 1996:45) argues that the reason for organizations devoting time and resources to an appraisal scheme is to legitimate managerial actions through demonstrating that human resources are deployed in a rational and effective way. In addition, the deficient operation of appraisal schemes allows more dominant power groups to continue to pursue their own agendas unchallenged. The appraisal scheme merely provides the “window dressing” of rational and effective HRM (Human Resource Management) while the “real” decisions, such as those regarding promotion, are based on social evaluations operating outside of the appraisal process, which are influenced, for example, by issues such as the general social skills and

political awareness of the individual. Respondent 1 in the qualitative study shared Barlow's view. He explained:

*"The senior management decides the candidate for promotion on their own accord and is seldom influenced by the outcomes of appraisal. Usually, a special post of responsibility is tailor-made for the selected candidate. And the outcome of appraisal is only used to justify their decisions."*

If appraisees perceive that the teacher appraisal scheme operates in the above manner, the scheme will certainly not produce a positive impact on managerial decisions or staff promotion. In fact, sometimes it may produce a negative impact.

#### *Impact on student learning outcomes*

Improved student learning outcomes should be the ultimate goal of implementing the teacher appraisal scheme. The learning gains of students are the most important accomplishment of teachers. Appraisal encourages effective teaching through identifying areas of strengths and weaknesses and providing proper feedback for classroom improvement. This should result in improved student

learning. Therefore, when appraising teachers, student achievement data should be collected as it reflects the effectiveness of teaching to a certain degree. It is important to note that evaluating teacher performance by itself cannot improve teacher performance. Actually, administrative judgments are often instrumental in helping teachers develop their skills and, conversely, the developing of individual skills serves the purpose for which institutional judgments are intended (O'Hanlon and Mortensen, 1980:664). Many researchers find that the long-term impact of teacher appraisal on teacher performance depends on how far it is integrated with staff development (Odhiambo, 2005:413). Therefore, it is indeed desirable and important for a system of teacher appraisal to be associated with a support system aimed at improvement. The supporting system would help teachers to diagnose and to solve instructional problems in order to make improvements and, in doing so, further their own professional development. There is speculation that a purely summative teacher appraisal scheme does not produce any positive impact on student learning outcomes. Rather, appraisal may produce a negative impact. Appraisal activities may seriously reduce the teaching time of teachers and interfere with their teaching work.

Respondent 17 in the qualitative study explained:

*“Appraisal encourages standardization and normalization of teaching practices. Both excellent teaching methods and innovations in teaching are discouraged.”*

#### *Essential and effective components for school accountability*

As in any organization, accountability is an essential element in schools.

Teacher appraisal acts as a formal mechanism to remind teachers that they should provide more information about their work programs, decision making, standards, and consequences of their performance to school constituencies. Accountability of the teacher appraisal scheme is largely credited with political, rather than educational origins (Timperley, 1998:44). It is seen as a desire by the government to ensure incompetent teachers do not continue to teach. Yet, incompetent teachers cannot be dismissed on the grounds of underperformance in Hong Kong. Some may perceive teacher appraisal as an ineffective means for school accountability in Hong Kong. On the other hand, all respondents in the qualitative study perceived that formalised procedures for the appraisal of teacher performance are logical and essential for accountability. Their views are in accord with Hattie and Clinton (2001:295) who argue that, “the major advantage of assessing teachers is the demonstration that the profession can identify, value and reward the very best”. Accountability presumably

causes teachers to sense the responsibility of their actions, and to raise the level of their work, so as finally to bring about an improvement in educational outcomes (Rosenblatt and Shimoni, 2002:309). There is a suggestion that accountability affects behaviour through motivational processes, in particular, goal setting in appraisal interviews. It encourages improvement by elevating the goals that teachers set for themselves at work.

#### *Enhancing short-term school development and improvement*

In the performance planning stage of teacher appraisal, appraiser and appraisee should jointly develop specific goals. These agreed goals are then monitored and the appraiser gives feedback at the end of the appraisal period. In order to enhance school developments and improvements, the setting of appraisee goals should be integrated into the overall strategic planning programme of the school. One possible approach for linking teacher appraisal to school developments and improvements is to precede the activities of appraisal by some form of school review or school self-evaluation. When teacher appraisal is set within the context of the school rather than the individual teacher, it is far less threatening and may serve as a powerful strategy for school development and improvement. When most teachers pay concerted effort towards the short-term goals of the school, this will help to



achieve short-term school development and improvement. Nevertheless, for whatever reasons, there will be some teachers whose practices the appraisal scheme will not change. They will continue their routine teaching activities until an external force is strong enough to transform them. If most school teachers belong to this kind of group, teacher appraisal cannot enhance short-term school development and improvement.

#### *Enhancing long-term school development and improvement*

It is questionable whether the concerted effort of teachers elicited by teacher appraisal is sustainable. There is an argument that the rate of school progress is extremely slow and imperceptible. If the concerted effort of teachers is temporary, the enhancement on long-term school development will be negligible. However, some respondents in the qualitative study suggested that the implementation of teacher appraisal did produce a positive impact on long-term school development and improvement. Respondent 19 explained:

*“Culture will change. Given time, all teachers will behave proactively*

*in accordance with the spirit of appraisal. At that time, the impact on*

*school development and improvement will be significant and persistent.”*

## 6.10 Personal factors affecting views on appraisal

### *Life experience, especially teaching experience*

There is speculation that the personal lives of teachers and their teaching experience will interact and affect their views on professional issues such as teacher appraisal. Their family backgrounds, learning experiences and teaching experiences will interact, integrate, and shape their educational values. Their views on teacher appraisal will determine their educational values. Several studies suggest that as teachers mature in their personal lives and encounter new experiences outside of teaching, they begin to view professional issues differently (Pajak and Blasé, 1989:284). Being a parent, marriage, single status, and being a member of an extended family or network of friends, for example, relate to the relationships of teachers with others. Experiences of teachers in these interpersonal relationships inevitably produce a major impact on their views on connection (*guanxi*) and human feelings (*ren qing*). As the teaching experience of teachers increases, they will view professional issues from many perspectives and will gain more insight into understanding professional issues. For instance, the more experienced teachers may have a more systemic view of the appraisal scheme, a better understanding of the operational details, the strengths and weaknesses of the scheme, and possible strategies available to cope with the scheme. Their teaching experience will affect

their views on the teacher appraisal scheme, especially on the problems of implementation, the impact of Chinese cultural dimensions and some of the Chinese cultural values.

### *Roles in appraisal process*

In teacher appraisal, appraisers act as the raters and appraisees act as the ratees. The difference in roles may affect their views towards appraisal. Generally, appraisers are significantly more satisfied with appraisals than appraisees (Wright, 2004:340). Appraisers are inclined to perceive less implementation problems and a greater positive impact. Appraisees are inclined to believe that appraisers are the key to the success of the system emphasising more effective planning, ongoing feedback, and better performance monitoring by appraisers. Appraisers, on the other hand, are inclined to focus on system design, operation and support issues. Not only do appraisers and appraisees generally differ in their perceptions of what should constitute effective appraisal systems, but they also differ in what causes appraisals to be ineffective. Both appraiser and appraisee agree that the attitude and skills of the appraiser is a key determinant of system failure. In terms of differences, appraisers outline that lack of appraisee involvement and lack of resources to reward good

performance are the key, while appraisees point to lack of ongoing feedback and not meeting their development needs.

### *Gender difference*

Some respondents in the qualitative study reflected that gender affected their views on appraisal. Male appraisers are perceived to be more lenient and will not focus too much on details. Conversely, female appraisers are perceived to be stricter and will pay greater attention to details. This female characteristic may affect their views on the perceived impact on the relationship between appraiser and appraisee. Also, females may be inclined to weigh the problems in implementation less and weigh the summative outcomes of appraisal more. In their research, Furnham and Stringfield (2000:287) find that in appraisal, female appraisers are harsher raters, particularly of males. Male appraisees are rated lower than females and female appraisers give males the lowest and females the highest ratings. There is a hypothesis that it is more difficult for females to reach senior positions than males and, as a result, women have to be not only better than their male rivals but also behave in a more masculine way (Hearn and Parker, cited in Furnham and Stringfield, 2000:287). This may lead to female appraisers being more competitive, having

higher standards and being stricter on their appraisal reports than the same level of male appraisers.

#### 6.11 Differences in Responses between Male and Female Respondents

Traditionally and stereotypically, a people-centred approach is associated with a feminine approach and a task-oriented approach with a masculine approach (Rigg and Sparrow, 1994:14). Males are considered to be more rational, logical and to perform better in science and mathematics. There is a suggestion that the solving of the problem of insufficient financial resources may demand a better scientific mind and a more task-oriented approach. Female teachers may be less confident in solving this problem and hence they may perceive lack of financial resources to be a more serious problem than males. Also, in appraisal, female teachers may be more sensitive and empathetic to people-related problems. They are more inclined to weigh the negative impact caused by them, e.g. connection, human feeling, face saving and respect for age and seniority. In addition, female teachers are perceived to be more dedicated to the teaching profession. They may have a higher expectation of the teacher appraisal scheme and may strive harder to achieve its expected objectives. Hence, they may perceive a greater positive impact on teaching behaviours, teacher knowledge, and the summative outcomes of appraisal.

#### 6.12 Differences in responses between respondents with different teaching experience

As teachers become more experienced, they become more rational and more sophisticated in handling interpersonal relationships. Since teacher appraisal involves human evaluation and human interaction, the more experienced teachers should have a better knowledge of and insight into the basics and essence of the appraisal scheme. They will find it easier to point out that the core problems of the appraisal scheme lie in “insufficient link to reward system”, “insufficient training”, “insufficient financial resources”, and “emphasis on harmonious relationships and conflict avoidance”. As teachers become more experienced, they also become older. They are inclined to adopt a more comprehensive perspective to analyse the appraisal scheme and also to become more conservative. They will tend not to take risks and may prefer a more stable working environment. Since hierarchical relationships can help to maintain the stability of the school, the more experienced teachers perceive a greater positive impact of high power distance on the appraisal process. In addition, when teachers gain more teaching experience and life experience, they will be more appreciative of the importance of good interpersonal relationships, which are indispensable for the successful implementation of teacher appraisal. They understand that a good and persistent interpersonal relationship is based on certain kinds of exchange of rewards and favours, i.e. reciprocation. Hence, the more

experienced teachers perceived a greater positive impact of reciprocation on the appraisal process.

#### 6.13 Differences in responses between respondents experiencing different number of appraisal cycles

Appraisal is concerned with the measurement and evaluation of performance. The appraisal activities such as information gathering, goal setting and identifying opportunities for professional development are all labour intensive.

When teachers experience more appraisal cycles, they will develop relevant expertise and handle the appraisal activities more efficiently. Hence, teachers experiencing more appraisal cycles perceived that the seriousness of the problem “insufficient human resources” decreased. As teachers experience more appraisal cycles, both appraiser and appraisee can communicate more effectively and understand each other better even though both parties may use vague and ambiguous language. Therefore, teachers experiencing more appraisal cycles perceived a less negative impact of the cultural dimension “low uncertainty avoidance” on the appraisal process. There is speculation that when teachers experience 4-6 appraisal cycles, they realize that some appraisees use “appraisal should be process-driven” as an excuse for unsatisfactory performance. Their initial response may put a stronger emphasis on a results-driven approach. Later, they may find that a results-driven approach is not worthwhile as

teachers accept this approach less. Coincidentally, teachers experiencing 4-6 and 7-9 appraisal cycles have gained a wider life experience and may better appreciate the importance of connection and human feeling in interpersonal relationships. Therefore, they perceive the greatest positive impact of connection and human feeling on the appraisal process. Finally, as teachers experience more appraisal cycles, they will better understand the limitations and strengths of the appraisal scheme. So, teachers who have experienced more appraisal cycles suggested that the appraisal scheme is ineffective in eliminating incompetent teachers and did not produce an impact on the managerial decisions of the school.

#### 6.14 Differences in responses between respondents with different academic qualifications

Trust is considered to be a fundamental requirement for the successful implementation of teacher appraisal. As mentioned earlier, trust exists in two forms, impersonal form and personal form. It seems that the non-degree holder teachers did not distinguish between these two forms and perceived that the personal form of trust – trust between friends – produced the greatest positive impact. On the other hand, it seems that teachers with Bachelors degrees could discriminate between these two forms of trust and worried that the confusion of working relationships with personal relationships would harm the credibility of the appraisal scheme. Hence,



they perceived that the emphasis of trust between friends produced the least positive impact on the appraisal process. There is speculation that teachers with Masters degrees or higher should be able to distinguish personal trust from impersonal trust. However, they may recognize that both forms of trust can help in the smooth operation of appraisal. Yet, anticipated negative impacts have not developed since the history of implementing the appraisal scheme is rather short. Therefore, they perceived that the emphasis of trust between friends produced a moderately positive impact on the appraisal process. Also, there is speculation that some degree holder teachers might be young and less sophisticated in handling interpersonal relationships. They are not confident enough to challenge the selected values in the traditional Chinese culture and prefer low uncertainty avoidance. Hence, one-quarter of respondents in the qualitative study considered that low uncertainty avoidance produced a positive impact on the appraisal process. In addition, teachers owning Masters degrees or above may be more knowledgeable. They recognize that the establishment and smooth operation of teacher appraisal takes time. Appraisal schemes have the potential to produce profound effects if the school culture and the societal culture change. Hence, they perceived that the appraisal scheme produced a greater positive impact on their teaching behaviours.

#### 6.15 Differences in responses between respondents with teacher training and those without teaching training

There is speculation that teachers with teacher training may have a stronger belief in the existence of a positive causal relationship between teaching and learning, and a positive casual relationship between input and output. They believe that better teaching will lead to better learning of students. More input will produce more output. Therefore, teachers with teacher training perceived a greater positive impact of implementing the teacher appraisal scheme on “overall teaching effectiveness” and “understanding of teaching-learning process”. In their teacher training courses, teachers should have received a lot of comments, evaluation and feedback on their teaching performance from their supervisors and peers. Referring to their own experiences, they suggested that more frequent comments on teacher performance would not increase openness of teachers to criticism. Rather, this would produce a negative impact. Presumably, teachers with teaching training have better knowledge on the principles of educational management. They should be able to judge the fairness of staff promotion in their schools. When they perceived the outcomes of appraisal might be manipulated to justify the staff promotions, they perceived greater negative impact on the fairness of staff promotion.

#### 6.16 Differences in responses between respondents with different major responsibilities

The middle managers are sandwiched between the senior managers and the class teachers. On one hand, middle managers are required to provide essential information to senior managers for the formulation of school policies. On the other hand, they need the cooperation from class teachers in implementing school policies. It is essential for middle managers to have a deep understanding of both the rationale and the difficulties of any school policies. Middle managers recognize the importance of training in the appraisal scheme. They believe that training can transform the attitudes of teachers, making them more serious about appraisal. Also, training can equip appraisers and appraisees with essential skills in appraisal such as coaching, goal setting, negotiation and conflict resolution. From among the three categories of responsibility of respondents, they perceived insufficient training as the most serious problem. In addition, as teachers climb to higher levels of responsibility in schools they obtain information that is more relevant and are inclined to adopt a more holistic view in assessing the impact of the appraisal scheme. Hence, the higher the responsibility of the respondents, the greater the positive impact they perceived. In teacher appraisal, the class teachers usually play the role of “appraisee only”. They do not need to have a holistic view. They may not need to consider school-wide implementation difficulties and issues and their outspoken could be high

sounding. Consequently, they consider that the emphasis on harmonious relationships, connections, human feelings and respect for age and seniority would produce a negative impact on the process of appraisal. Furthermore, since the class teachers may not have a holistic view on the appraisal scheme, a higher proportion of them perceived the ineffectiveness of the appraisal scheme.

#### 6.17 Differences in responses between respondents with different roles in appraisal process

There is speculation that appraisers will be concerned more about management issues and appraisees will be concerned more about implementation issues. Hence, “teachers playing the role of appraiser only” contained the largest proportion of teachers who perceived that the implementation of the appraisal scheme produced the greatest impact on “making sound managerial decisions”. “Teachers playing the dual roles of appraiser and appraisee” are sandwiched between appraiser and appraisee. They have to focus on both management and implementation issues and strike a balance between the two. Therefore, they contained the greatest proportion of teachers who perceived the “concept of face saving” as the greatest difficulty in implementing appraisal. Also, they perceived that implementing the appraisal scheme produced the greatest positive impact on teaching behaviours, teacher knowledge, teacher attitudes, fairness of staff promotion, and enhancing

short-term and long-term school development and improvement. In addition, they contained the highest proportion of respondents who considered that the appraisal scheme is an essential and an effective component of school accountability. There is speculation that effective appraisal demands more training on the part of the appraiser than the appraisee. Therefore, the degree of difficulty perceived by the three categories of teachers is commensurate with their role in appraisal. Teachers playing the role of “appraiser only” perceive “insufficient training” as the greatest problem while teachers playing the role of “appraisee only” perceive it as the most insignificant problem.

#### 6.18 Differences in responses between respondents with different primary appraiser

There is speculation that the perceptions of the appraisee on the legitimacy and relevance of the appraiser are crucial to their perceived impact on the appraisal process. Appraisees may perceive that peers are more objective and more trustworthy, and members from the IMC (incorporated management committee) can legitimately appraise them. Therefore, when peers or the academic secretary from the sponsoring body appraised teachers, they perceived the greatest positive impact on “overall teaching effectiveness”, “making sound managerial decisions, fairness of staff promotion” and “enhance short-term school development and improvement”.

Also, they perceived that the senior management such as the principal or the vice-principal had the authority to evaluate their teaching performance. Hence, they perceived the greatest positive impact when being appraised by the senior management. Conversely, subject panel chairpersons, peers or committee heads were not perceived as legitimate or relevant to evaluate aspects of the summative outcomes of appraisees. Therefore, the appraisees perceived the least positive impact when being appraised by them.

#### 6.19 Differences in responses between respondents with different secondary appraiser

There is speculation that peers do not have sufficient authority to establish assessment criteria in appraisal. They do not have the power to reward or punish, and their schools are less likely to provide training. Also, they may not perceive being appraisers as an obligatory duty. Therefore, teachers with peers as their secondary appraisers contained the highest proportion of teachers who perceived the most difficulty in “not having clearly established performance criteria or not having an effective rating instrument”, “lack of ongoing performance feedback”, “ineffective link to reward systems”, and “insufficient training”.

#### 6.20 Differences in responses between respondents with reciprocal relationship and those without reciprocal relationship to their appraisers

In reciprocation, there should be an exchange of benefits and favours. The emphasis on “respect for age and seniority” puts demands on the side of the young and more junior staff members and does not give any benefits or favours in return. If the appraiser is aged and more senior, the emphasis should not cause any problem. However, if appraisees are aged and more senior, appraisers may face some difficulties. Therefore, teachers with a reciprocal relationship perceived a greater negative impact on “respect for age and seniority”.

#### 6.21 Adaptability of appraisal in new cultural context

Walker and Dimmock (2000:164) suggest dividing the cultural suitability of Western appraisal models for Hong Kong schools roughly into two components, namely, the general principles of appraisal, and the processes involved in the implementation and operation of an appraisal scheme. The general principles of appraisal include generic tenets such as accountability of teachers, the need for feedback for better performance, and the collecting of information for promotion and contract renewal. Such principles can be regarded as universally acceptable and able to cut across cultural differences, regardless of the values underpinning beliefs and actions. The data in this research supported this argument. For examples, all

respondents in the qualitative study concurred that teacher appraisal should be an essential component for school accountability. Also, 71.6% respondents in the quantitative survey perceived that teacher appraisal had produced a positive impact on school accountability. General principles and policies, however, become problematic at the implementation and operational level and it is here that cultural considerations particularly come into play (Walker and Dimmock, 2000:164). The data from this research supported this argument, too. For examples, 56.5% respondents in the quantitative survey perceived that low uncertainty avoidance had produced a negative impact on the appraisal process. Also, 50.7% respondents in the quantitative survey perceived that high power distance had produced a negative impact on the appraisal process.

The researcher argues that whenever the imported policies and processes from the Western societies are not congruent with the local societal culture, they will be in tension and interact with the traditional societal culture. The traditional societal culture will modify and shape the process and operation of appraisal schemes. At the same time, the local societal culture will change although it takes a very long time. There are a lot of examples which illustrate how traditional societal culture modifies and shapes the process and operation of appraisal schemes. For examples,



when introducing appraisal into a collectivist society such as Hong Kong, feedback may be given indirectly, either through the withdrawing of a favour or via an intermediary person trusted by both appraiser and appraisee. Structuring teacher appraisal schemes so as to ensure that the negative aspects of appraisal are not revealed to the appraisees, and that the open part of the appraisal accentuates the positive attributes of the appraisee might help to save 'face' and minimize opportunities for conflict. Furthermore, under the influence of high power distance, teachers seem to be reluctant to have their peers as their appraisers as they are not regarded as having the authority to appraise. It is argued that quality appraisers are critical to the successful adaptability of appraisal scheme in new cultural context. Quality appraisers are firm in insisting the general principles of appraisal. At the same time, they have innovations or wisdoms in introducing flexibilities so as to ensure the effectiveness of appraisal schemes. For example, Chinese culture was perceived to produce a negative impact on the appraisal scheme. However, despite of the perceived negative impact, the implementation of appraisal scheme was perceived to produce a positive impact on all aspects of teaching behaviours, teacher relationships, teacher knowledge, teacher attitudes, and summative outcomes, although the positive impacts might not be great enough. This may indicate that appraisal schemes had been successfully modified to suit the local school

environment to certain extent. Probably, major defects of the appraisal scheme and its insensitivity to the traditional societal culture had been remedied by appraisers or appraisees. Conversely, a number of respondents from the qualitative interview suggested that the traditional societal culture has changed, and given time, appraisal scheme would become part of the school culture. In conclusion, the implementation of appraisal scheme has successfully adapted to the traditional societal culture and at the same time modified the traditional societal culture.

## CHAPTER 7

### CONCLUSIONS AND RECOMMENDATIONS

#### 7.1 Answers to Research Questions

##### *Problems experienced in implementing the teacher appraisal scheme*

In this research, a total of 21 problems were identified in implementing the mandatory teacher appraisal scheme. These problems were as follows: (1) insufficient link to a reward system, (2) insufficient training, (3) lack of ongoing performance feedback, (4) appraiser lacks actual hands-on information about appraisee, (5) lack of focus on development and improvement, (6) appraiser lacks rating skills or motivation / ambiguous and non-genuine feedback, (7) review process lacks structure and substance, (8) no clearly established performance criteria or no effective rating instruments / subjective assessment of performance, (9) lack of trust and confidence between appraiser and appraisee, (10) insufficient time, (11) insufficient human resources, (12) over-critical or hindsight reviews, (13) perceived political reviews, (14) insufficient financial resources, (15) teachers not taking appraisal seriously, (16) incomprehensive and non-continuous assessment of performance, (17) lack of follow-up, (18) no assessment of normal / realistic events or issues, (19) psychological burden of teachers, (20) lack of capable and “quality” appraisers, and (21) lack of a built-in appeals mechanism.

Among these 21 problems, problems 1 to 14 were identified in the quantitative survey and problems 15 to 21 were identified in the qualitative study.

These 21 problems can be classified into three overlapping categories: problems associated with the accuracy of assessment, problems associated with personnel, and problems associated with the appraisal scheme (Table 7.1(a)).

**Table 7.1(a) Classification of Problems in Implementing Teacher Appraisal Scheme**  
 (Questions marked \* were those identified in the qualitative study)

<i>Problems associated with the accuracy of assessment</i>	<i>Problems associated with personnel</i>	<i>Problems associated with the appraisal scheme</i>
(1) Appraiser lacks actual hands-on information on appraisee (2) Appraiser lacks rating skills or motivation / ambiguous and non-genuine feedback (3) Not having clearly established performance criteria or not having effective rating instrument / Subjective assessment of performance (4) Perceived political reviews *(5) Incomprehensive and non-continuous assessment of performance	(1) Insufficient training (2) Lack of focus on development and improvement (3) Review process lacks structure and substance (4) Over-critical or hindsight reviews (5) Lack of trust and confidence between appraiser and appraisee *(6) Teachers not taking appraisal seriously *(7) Psychological burden of teachers *(8) Lack of capable and “quality” appraisers	(1) Insufficient link to reward system (2) Lack of ongoing performance feedback (3) Insufficient time (4) Insufficient human resources (5) Insufficient financial resources *(6) Lack of follow-up *(7) Not assessing the normal / realistic events or issues *(8) Lack of a built-in appeals mechanism

### *Reasons for perceiving as problems and their degree of significance*

One or more of the following mechanisms prevented the teacher appraisal scheme from being effective: (1) accurate assessment of performance was not measured, (2) normal / realistic events or issues were not assessed, (3) problems or areas for improvement were not diagnosed, (4) follow-up actions were not carried out to ensure improvements, (5) credibility of appraisal scheme was damaged, and (6) motivation to learn and improve diminished. All of these result in a vicious cycle.

In terms of their degree of significance, the problems surveyed in the quantitative study can be categorized subjectively into three groups: (1) the most significant problems (mean  $\geq 1.5$ ), (2) the moderately significant problems ( $1.5 > \text{mean} \geq 1.3$ ), and (3) the least significant problems (mean  $< 1.3$ ) (Table 7.1(b)). Also, these 14 problems could be reduced to six problems. They are, in their descending order of relative importance, “incapability of appraiser”, “insufficient resources”, “subjective perception of appraiser or appraisee”, “incapability for teachers’ improvement”, “inaccurate assessment of performance”, and “insufficient link to reward systems”.

Table 7.1(b) Classification of Problems based on Degree of Significance

<i>The Most Significant Problems</i>	<i>The Moderately Significant Problems</i>	<i>The Least Significant Problems</i>
(1) Insufficient link to reward system (mean = 1.64) (2) Insufficient training (mean = 1.57) (3) Lack of ongoing performance feedback (mean = 1.53)	(1) Appraiser lacks actual hands-on information on appraisee (mean = 1.46) (2) Lack of focus on development and improvement (mean = 1.46) (3) Appraiser lacks rating skills or motivation / ambiguous and non-genuine feedback (mean = 1.40) (4) Review process lacks structure and substance (mean = 1.39) (5) Not having clearly established performance criteria or not having an effective rating instrument / Subjective assessment of performance (mean = 1.38) (6) Lack of trust and confidence between appraiser and appraisee (mean = 1.38) (7) Insufficient time (mean = 1.38) (8) Insufficient human resources (mean = 1.32) (9) Over-critical or hindsight reviews (mean = 1.31)	(1) Perceived political reviews (mean = 1.08) (2) Insufficient financial resources (mean = 0.90)

*Effect of the four Chinese cultural dimensions on appraisal scheme*

Among the four Chinese cultural dimensions, three of them, low uncertainty avoidance (mean = -0.71), neither masculinity nor femininity (mean = -0.64), and high power distance (mean = -0.46), were perceived to produce a negative impact on

the appraisal process. The fourth cultural dimension, collectivism, was perceived to produce a neutral impact (mean = -0.01) on the appraisal process. Under the influence of low uncertainty avoidance, both appraisers and appraisees are inclined not to expose any problems. Appraisers prefer to give ambiguous and non-specific feedback so it would be hard for appraisees to follow up any suggestions and improvements would be impossible. Also, low uncertainty avoidance leaves room for different interpretations and may intensify the tension between appraisers and appraisees. Therefore, low uncertainty avoidance was perceived to produce the greatest negative impact on the appraisal process. Under the influence of neither masculinity nor femininity, appraisals are not results-driven and appraisers have plenty of room to interpret the performance of appraisees. This threatens the reliability of appraisal. Also, appraisees can easily find excuses if appraisals are not results-driven. The development and improvement for the school would be slower. Under the influence of high power distance, two-way communication between appraisers and appraisees can become impossible and the development of a cooperative atmosphere becomes less likely. This is not conducive to teamwork. Appraisers may also be easily tempted to abuse their authority and power which can destroy the credibility of the appraisal scheme. On the one hand, collectivism encourages teamwork. On the other hand, it overlooks the effort and contribution of

individuals. Therefore, collectivism was perceived to produce a neutral impact on the process of appraisal.

#### *Effect of the six Chinese cultural values on appraisal scheme*

Among the six Chinese cultural values studied, only the emphasis on “concept of trust between friends” was perceived to produce a positive impact (mean = + 0.20) on the process of appraisal. The emphasis on “maintenance of harmonious relationships and conflict avoidance” was perceived to produce a neutral impact on the process of appraisal. The other four Chinese cultural values, concept of face saving (mean = - 0.98), connection and human feelings (mean = -0.90), concept of reciprocity (mean = - 0.65), and respect for age and seniority (mean = -0.26), were perceived to produce a negative impact on the appraisal process. The emphasis on “concept of trust between friends” was perceived to produce a positive impact because it can reduce the mutual suspicion between appraiser and appraisee. It promotes teamwork by encouraging open communication and genuine feedback between appraiser and appraisee. On one hand, the emphasis on “harmonious relationships and conflict avoidance” enhances collaboration and teamwork. On the other hand, it discourages the appraiser from giving critical comments. Both appraisers and appraisees seem inclined to cover up any problems. Therefore, the



emphasis on “harmonious relationships and conflict avoidance” was perceived to produce a neutral impact on the process of appraisal. With the emphasis on “concept of face saving”, appraisers are inclined to inflate their assessments and avoid giving critical feedback to appraisees. This hinders appraisees from accepting suggestions and comments. Therefore, the emphasis on “concept of face saving” was perceived to produce a negative impact on the process of appraisal. The emphasis on “connection and human feelings” encourages the exchange of benefits and the formation of cliques. In addition, assessment is not solely on performance and this creates unfairness. Consequently, the emphasis on “connection and human feelings” was perceived to produce a negative impact on the process of appraisal. The emphasis on “concept of reciprocation” promotes the exchange of benefits and creates unfairness in assessment. Both appraiser and appraisee may flatter each other and cover up any problems and school improvement becomes impossible. Accordingly, the emphasis on “concept of reciprocation” was perceived to produce a negative impact on the process of appraisal. The emphasis on “respect for age and seniority” is non-advantageous for creativity and paradigm shift. Also, since factors other than performance are considered in assessment, this creates unfairness in appraisal. Hence, the emphasis on “respect for age and seniority” was perceived to produce a negative impact on the process of appraisal.

The effects of the six cultural values could be analyzed by using the two reduced factors identified in section 4.5, namely, “investment in personal relations”, and “maintaining orderly society”. The emphasis of the cultural value “investment in personal relations” will put personal relations and official relations in conflicts, which would prevent the effective implementation of appraisal schemes. Also, the emphasis of “maintaining orderly society” favours the maintenance of *status quo*, and discourages giving critical feedbacks. Both would produce a negative impact on the appraisal process.

### *Perceived Impacts on Teaching Behaviours*

The implementation of a teacher appraisal scheme was perceived to produce a positive impact on all aspects of teaching behaviours, namely, quality of classroom management (mean = + 1.34), overall teaching effectiveness (mean = +1.33), quality of lesson preparation (mean = + 1.30), instructional skills (mean = +1.28), quality of marking assignments (mean = +1.19), ability to adopt fair and appropriate methods of student assessment (mean = +1.11), and collaboration among teachers (mean = +0.90). Among the six teaching behaviours, quality of classroom management and instruction skills, act as good predictors of the impact on teaching behaviours. Also, these six teaching behaviours could be reduced to the two teaching behaviours, namely,

“classroom performance of teachers”, and “supporting measures to enhance student learning”. The implementation of an appraisal scheme guarantees that all teachers fulfil the basic standards of teaching. Teachers learn from their peers and make improvements according to feedback. Also, appraisal coordinates teaching activities and directs the concerted efforts of teachers to items regarding school improvements. Consequently, the implementation of a teacher appraisal scheme was perceived to produce a positive impact on all aspects of teaching behaviours.

#### *Perceived Impacts on Teacher Relationships*

The implementation of a teacher appraisal scheme was perceived to produce a positive impact on various kinds of relationships, namely, teacher-student relationship (mean = +0.72), teacher-school relationship (mean = +0.50), peer relationship (mean = +0.49), appraiser-appraisee relationship (mean = +0.29), and teacher-community (society) relationship (mean = +0.21). These five relationships could be reduced to two types, namely, “relationship between directly involved parties” and “relationship between indirectly involved parties”. The respondents explained that the implementation of an appraisal scheme established a formal working relationship among different parties in schools. The relationship between individual teachers transforms a personal relationship into a working relationship and

teachers no longer rely on a personal relationship to complete school tasks.

Accordingly, the implementation of a teacher appraisal scheme was perceived to produce a positive impact on various kinds of relationships.

### *Perceived Impacts on Teacher Knowledge*

The implementation of a teacher appraisal scheme was perceived to produce a positive impact on all aspects of teacher knowledge, namely, understanding of personal strengths and weaknesses (mean = +1.51), understanding of the teaching-learning process (mean = + 1.32), understanding of subject knowledge (mean = +1.23), and knowing direction for professional development (mean = +1.29).

The four aspects of teacher knowledge could be reduced to two aspects, namely, “knowledge for classroom performance” and “knowledge for teacher self-understanding”. Appraisal provides opportunities for exchanging teaching ideas and sharing experiences and teachers can examine their own teaching efficacy from different perspectives. Also, appraisal encourages reflection and self-evaluation among teachers. Furthermore, teachers revise their knowledge or acquire new knowledge during their preparation for appraisal activities. Hence, the implementation of a teacher appraisal scheme was perceived to produce a positive impact on all aspects of teacher knowledge.

### *Perceived Impacts on Teacher Attitudes*

The implementation of a teacher appraisal scheme was perceived to produce a positive impact on the four aspects of teacher attitude, namely, reflection on teaching (mean = +1.43), openness to criticism (mean = +1.15), enthusiasm about teaching (mean = +1.05), and teacher morale (mean = +0.74). These four aspects of teacher attitudes could be reduced to two aspects, namely, “acceptance for evaluation” and “motive to strive for excellence”. In appraisal, there is a lot of evaluation and comment from others. Teachers reflect more and become more open to criticism. In addition, enthusiasm and morale increases when peers observe excellent teaching practices. Consequently, the implementation of a teacher appraisal scheme was perceived to produce a positive impact on the four aspects of teacher attitude.

### *Perceived Impacts on Summative Outcomes*

The implementation of a teacher appraisal scheme was perceived to produce a positive impact on all aspects of the summative outcomes of appraisal, namely, improve school accountability (mean = +1.11), improve student learning outcomes (mean = +1.10), enhance short-term school development and improvement (mean = +1.04), enhance long-term school development and improvement (mean = +1.03), give fair and accurate assessment of teacher performance (mean = +1.02), improve

fairness of staff promotion (mean = +0.94), make sound managerial decisions (mean = +0.81), and eliminate incompetent teachers (mean = +0.46). These eight aspects of summative outcomes could be reduced to two aspects, namely, “enhancement of student outcomes and school development” and “sound personnel decisions”. The implementation of a teacher appraisal scheme can increase school accountability because it increases the transparency of school operations and provides a means of quality control. It can improve student learning outcomes because it motivates teachers to work harder to improve their performance. Moreover, appraisal ensures that the performance of all teachers is above the minimum standard of performance. The teacher appraisal scheme was perceived to enhance short-term school development and improvement. It draws the attention and effort of teachers to items of school concern, and motivates teachers to work harder. Also, feedback in appraisal helps teachers to diagnose and improve. The teacher appraisal scheme was perceived to produce a positive impact on long-term school development and improvement. This is because appraisal produces enhancement by gradually changing the mind-set of teachers through establishing new school cultures. The implementation of a teacher appraisal scheme was perceived to produce a positive impact on giving a fair and accurate assessment of teacher performance. Quality and capable appraisers who make fair and accurate assessments help to achieve fairness

and accuracy. Moderating assessment outcomes from different appraisers and using the same standards to assess performance can also help to achieve fairness and accuracy. The implementation of a teacher appraisal scheme was perceived to produce a positive impact on managerial decisions and staff promotion. The respondents explained that satisfactory assessment results were a prerequisite for promotion to a higher rank and school management can make use of the assessment results in the assignment of duties. The implementation of a teacher appraisal scheme was perceived to produce a positive impact on eliminating incompetent teachers. The respondents explained that the information obtained from the appraisal process can provide evidence for the required disciplinary actions.

## 7.2 Conclusions

- (1) There are a lot of problems in implementing the teacher appraisal scheme.

Among them, the core problems are those associated with accuracy of assessment, insufficient link to rewards, ongoing and genuine feedback, insufficient time, lack of quality and capable appraisers, and not assessing the normal / realistic events or issues.

- (2) Three of the four Chinese cultural dimensions, namely, high power distance, neither masculinity nor femininity, low uncertainty avoidance (i.e. excepting

collectivism), were perceived to produce a negative impact on the appraisal scheme.

- (3) Among the six Chinese cultural values studied, only the emphasis on “concept of trust between friends” was perceived to produce a positive impact on the process of appraisal. The emphasis on “maintenance of harmonious relationships and conflict avoidance” was perceived to produce a neutral impact on the process of appraisal. The other four Chinese cultural values; the concepts of face saving, connection and human feelings, reciprocation, and respect for age and seniority, were perceived to produce a negative impact on the process of appraisal.
- (4) The implementation of a teacher appraisal scheme was perceived to produce a positive impact on all aspects of teaching behaviours, teacher relationships, teacher knowledge, teacher attitudes, and summative outcomes.
- (5) The life experience of teachers, especially their teaching experience, influences their views on appraisal issues. Their family background, learning experience and teaching experience integrate and shape their educational values and views towards appraisal.
- (6) To certain extent, the appraisal scheme has successfully adapted to the traditional Chinese culture and at the same time modified it. This is evidenced by the

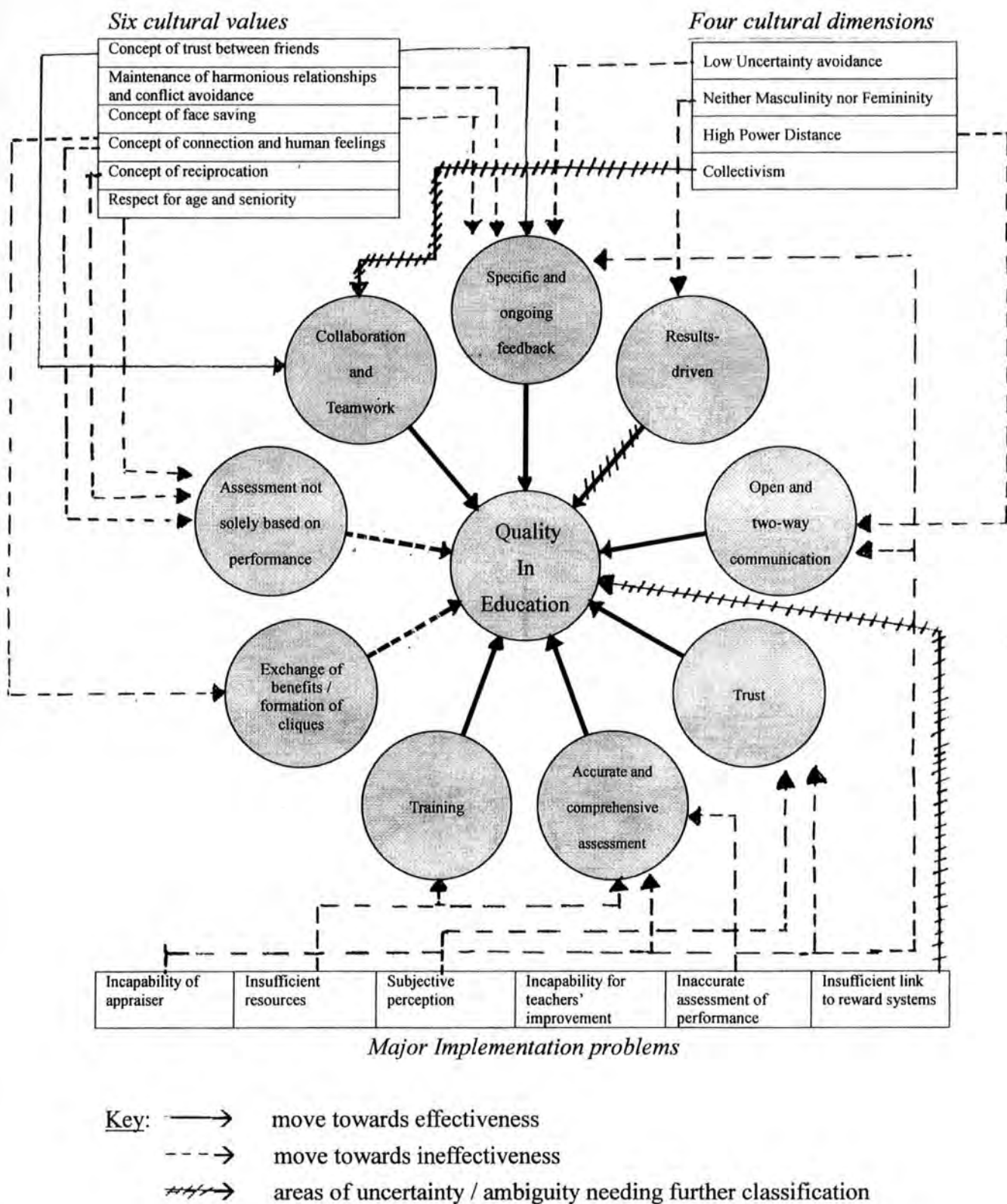


perceived positive impact on all aspects of teaching behaviours, teacher relationships, teacher knowledge, teacher attitudes, and summative outcomes.

- (7) In this research, the four cultural dimensions suggested by Hofstede (1980:45) are considered as appropriate for analysing and understanding the Chinese culture. However, the Chinese culture is dominated by the thoughts of Confucian. Therefore, a fifth dimension, Confucian work dynamism, was added to permit analysis of the Chinese culture (Chinese Cultural Connection, 1987:158). The Confucian work dynamism reflects the Confucian work ethic (Chinese Culture Connection, 1987:150), which consists of eight Chinese values, namely, ordering relationships, thrift, persistence, having a sense of shame, reciprocation, personal steadiness, protecting your “face”, and respect for tradition. Among these eight Chinese cultural values, four cultural values, namely, ordering relationships, reciprocation, protecting your “face”, and respect for tradition, are considered more relevant in appraisal. Here, all four values were considered to have produced a negative impact on the implementation of teacher appraisal scheme. The two cultural values, ordering relationships and respect for tradition, seem to produce their negative impact through strengthening hierarchical relationship and resisting paradigm shift. The emphasis on reciprocation seems to produce a negative impact by enhancing the

exchange of benefits and both appraisers and appraisees may flatter each other and will cover up the problems in schools. The emphasis on protecting your “face” seems to produce their negative impacts by hindering appraisees from accepting suggestions and comments. Therefore, a conclusion from this thesis is that it is necessary to include a fifth cultural dimension, Confucian work dynamism, in analysing the teacher appraisal schemes of Hong Kong.

- (8) A concept map has been proposed (Fig. 7.1) to illustrate the effects of various factors on the effectiveness of the teacher appraisal scheme. This attempts to bring together all the issues raised in this research about implementing teacher appraisal, including the four cultural values and six cultural dimensions identified in this research, which are placed in relation to a set of eight (circled) factors (as frequently or typically identified in Western models) considered important in producing quality in education. Below these are a series of known implementation problems already identified in Western-led research on education. Lines between all these factors have been drawn in terms of whether they seem to have positive, negative or as yet still ambiguous effect upon quality of implementation of appraisal.



**Figure 7.1: Concept Map showing Factors affecting the Effectiveness of Appraisal scheme (Source: Researcher)**

### 7.3 Limitations of the Study

#### *Biased samples*

This study drew a great deal of evidence from teachers who volunteered to participate. This leads to the possibility that respondents from the schools participating in the quantitative study had different attitudes to those refusing to participate. There is a likelihood that teachers from the participating schools might be more open and proud of their school appraisal scheme. Also, they might be more positive and more optimistic towards the impacts of the teacher appraisal scheme. Furthermore, the explanations offered by respondents in the qualitative study might not be representative since the sample size was small and the respondents were not representative of the general population, e.g. overweighting of males, with more teaching experience and higher academic qualifications.

#### *Problems in semi-structured interviews*

Conducting face-to-face, semi-structured interviews requires a lot of skill. The researcher must be very careful with the words and terms. Although some written guided questions were asked, sometimes it was hard to control the session. This was because the issue discussed was very sensitive and not ready for open discussion. Respondents were inclined to speak quickly in a soft voice when

discussing sensitive issues. Sometimes, the researcher could not make a very full note of what the respondent said.

### *Insufficient samples*

Since the number of completed questionnaires received (324 copies) was less than the minimum sample required (379 copies), there was the problem of an insufficient sample. Using the same confidence level (95%), the confidence interval of the survey would be increased from  $\pm 5.0\%$  to  $\pm 5.4\%$ . The change in confidence interval was considered to be not significant and therefore acceptable. In view of the low sample size, the interpretation would necessarily be very cautious.

### *Possibility that the research process itself may have been influenced by the Chinese cultural values*

There is the possibility that the research process itself may have been influenced by the Chinese cultural values such as concept of face saving and connection (*guanxi*). Under the influence of face saving and connection, the participants might respond and behave in ways that the researcher wanted. If the participants behaved in this way, the validity of the research would be negatively affected. However, the research process itself was distinguished from the appraisal process and was unlikely influenced by these Chinese values for three reasons. First,

the research was anonymous and the relationship between the researcher and the participants was temporary and one-off. Second, the researcher had no influence on the rewards or sanctions of the participants and did not have anything to exchange with them. Third, the participants understood that everything they said would be treated with utmost confidentiality and be made anonymous and under no circumstances would their identities be divulged. They had no reasons to give responses that pleased the researcher. Therefore, although the researcher could not exclude the possibility that the research process itself may have been influenced by the Chinese cultural values, the chance was very little and the consequent threat to validity would be negligible.

#### 7.4 Recommendations

- (1) School management should adopt a training approach that goes beyond the quick-fix; one-day or two-days training approach. It is recommended that the training should cover all elements of appraisal such as values, objective setting, observation skills, data-gathering skills, interviewing and report writing. The training should also focus on helping appraisers to develop open and bilateral relationships between themselves and appraisees, in which there is shared

control, shared thinking, shared evidence, shared planning and monitoring between appraiser and appraisee.

- (2) There is a suggestion that some form of school review or self-evaluation should precede the introduction of appraisal. This strategy fulfils three purposes.

Firstly, it provides a context for appraisal. It is far less threatening to individual teachers if appraisal of the school takes place first. Individual teachers can then set their own appraisal within that context. Secondly, such activities assist in improving communication among teachers. Thirdly, linking school reviews to teacher appraisal may result in a much more powerful strategy for school improvement. The argument is that if appraisal is viewed as a developmental rather than an accountability experience, and if the teacher is appraised within the context of the school, then school improvement will result.

- (3) Since the long-term impact of teacher appraisal on teacher performance depends on how far it integrates with teacher development, a system for individual professional growth could be established for all teachers. Rather than a process for performance review, the proposed system could identify professional goals for individuals that serve as a basis for dialogue with their supervisor, and as a method for identifying school-wide training and professional growth and opportunities. Since there is no rating for past performance, the focus is on

positive opportunities with the added goal of improved alignment with organizational goals. For individual personnel problems, a system for special performance appraisals could be developed and implemented. Special performance appraisal systems focus on specific documented problems and present equal opportunities for success, along with progressive steps for discipline, if problems persist. Also, a legal review of the special performance appraisal policy and procedures should take place to ensure fairness and compliance with the law.

- (4) When introducing appraisal into a collectivist society such as Hong Kong, feedback should be given indirectly, either through the withdrawing of a favour or via an intermediary person trusted by both appraiser and appraisee. In addition, appraisal of groups or teams could be introduced in a collectivist society. Furthermore, under the influence of high power distance, teachers seem to be reluctant to have their peers as their appraisers as they are not regarded as having the authority to appraise. Probably this limits the contribution of peer appraisals. As an alternative, greater emphasis on self-appraisal is needed.
- (5) In order to introduce the elements of ownership and empowerment, appraisers should work together with appraisees in developing improvements to the current



system of teacher appraisal. This would lead to openness and trust which are important for the implementation of widely accepted and effective appraisal programmes. The teachers are very clear in articulating the conditions they need to support their own development and growth. They very much need the opportunity to collaborate with their seniors in developing a more acceptable appraisal system.

- (6) In order to make an accurate assessment, the appraisers should have expert knowledge of the skills that are required to evaluate performance, and they should have as much exposure to the performance as is needed to provide an accurate assessment. In Hong Kong, within any one secondary school, there are a limited number of teachers specialising in the same or similar subjects. It is impossible to have experts in various subjects as appraisers. There is a suggestion that individual schools might recruit relevant experts as appraisers via the school-based professional support scheme offered by the EMB. Also, the suggestions from the ESR (external school review) might be used as a second opinion to validate the internal assessments.
- (7) Some kind of evidence regarding student learning should be gathered as a part of the teacher appraisal scheme since student learning is the ultimate goal of a teacher appraisal scheme. Possibilities for providing evidence include student

performance on certification or standardized examinations, achievement on tests and assignments related to course objectives, performance in follow-up courses, and measures of improvement in certain skills. Perhaps the most significant outcome of gathering data on student learning is the greater attention given to how it is measured. Hopefully this would result in an improvement of testing procedures, which in turn would improve the quality of learning for many students.

- (8) The concept of “face-saving” and the emphasis on “conflict avoidance” seem incompatible to the demands found in western countries for openness in teacher appraisal. Structuring teacher appraisal schemes so as to ensure that the negative aspects of appraisal are not revealed to the appraisees, and that the open part of the appraisal accentuates the positive attributes of the appraisee might help to save ‘face’ and minimize opportunities for conflict.

## 7.5 Suggestions for Future Research

- (1) It is worth considering a variety of longitudinal studies of an experimental nature. For example, conducting a series of randomized controlled experiments in order to investigate if and how teacher appraisal might improve the quality of secondary education in terms of objective measurable outcomes.

- (2) Conducting a follow-up study within the next three to five years to assess the mandatory teacher appraisal scheme would determine if teachers maintain their perceptions of the teacher appraisal scheme. Within the three to five years time frame, teachers would have the opportunity to use the teacher appraisal scheme for a longer amount of time, which may alter their perceptions.
- (3) In Hong Kong, as at September 2006, there were 53 private secondary schools under the direct subsidy scheme (DSS) besides aided schools and government schools. The aim of setting up the DSS is to develop a strong private school sector by providing high quality schools other than government and aided schools so that parents have greater choice in finding suitable schools for their children. Under the scheme, schools have greater autonomy in school management such as determining teacher establishment and the salaries of their teachers. It is worthwhile conducting teacher appraisal scheme research on these DSS schools. Researches might focus on how the teacher appraisal scheme operates and how it compares with the aided and government schools. It would also be interesting to find out whether there are any elements of pay for performance in their appraisal schemes, and, if so, what impact that has on the appraisal scheme.

## 7.6 Significance of the Study

- (1) Probably, this study is the first territory-wide survey on the perceived impacts of mandatory teacher appraisal in Hong Kong.

There is no published evaluation studies of the mandatory teacher appraisal scheme would have been conducted by tertiary institutions or the Education Bureau up to July 2008. Three reasons may account for the lack of studies. Firstly, there are many issues, for examples, medium of instructions, curricular reforms, small class teaching, which were the main concerns of the education sector in the past 10 years. Therefore, teacher development, and hence teacher appraisal, has not been the central focus of reform in Hong Kong. Secondly, both secondary schools and tertiary institutions faced the crisis of resource reduction and re-engineering in the past 10 years. Most teachers and researchers devoted their time and effort on matters concerning the survival of their institutions, schools and keeping their jobs. Thirdly, since the evaluation of human performance may be a sensitive matter, it is difficult to gain access to schools to collect information in this area, without strong support from the Education Bureau. From this study, the mandatory teacher appraisal scheme is found to have produced positive impacts on teaching and learning.

Educationalists may ascertain that teacher appraisal scheme could have

significant contribution to quality teaching and learning. Therefore, both policy makers and stakeholders should not downplay the significance of teacher appraisal scheme in providing quality education to students globally or in local context.

- (2) Probably, this study is the first systematic and territory-wide survey in searching the perceived problems of implementing the mandatory teacher appraisal scheme in the educational fields in local context. A thorough understanding of the implementation of appraisal scheme in Hong Kong could enable us to identify the pros and cons of the system and refine the system.

There are a lot of researches on the key features of effective appraisal schemes in the business sectors. However, only a few of them focus on the problems of implementation. Furthermore, rare researches are conducted in the educational context. From this research, a total of 21 problems are identified. Among them, the core problems are those associated with accuracy of assessment, insufficient link to rewards, ongoing and genuine feedback, insufficient time, lack of quality and capable appraisers, and not assessing the normal / realistic events or issues. With a better understanding on the problems of implementation, it is an essential step for improving all teacher appraisal schemes in the local context or globally.

- (3) This study supports for the argument that culture merits attention for successful implementation of mandatory teacher appraisal and increases our understanding of the impact of Chinese culture and the possible mechanism on the appraisal scheme.

An increased understanding of the effects of Chinese culture on teacher appraisal may shed light on how to implement the teacher appraisal scheme effectively in all multicultural educational contexts.

- (4) This study may serve as a research foundation for similar study in societies prevalent with Chinese culture, e.g. Taiwan and Mainland China.

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## Appendix A

### Statistical Tables of Quantitative Questionnaires / Survey

Table 4.2(a): Sex of respondents

Sex	Respondents in Questionnaires	
	Number	Percentage
Male	168	51.9 %
Female	156	48.1 %
Total	324	100.0 %

Table 4.2(b): Teaching experience of respondents

Teaching experience	Respondents in Questionnaires	
	Number	Percentage
1-5 years	47	14.5 %
6-10 years	41	12.7 %
11-15 years	68	21.0 %
16-20 years	51	15.7 %
> 20 years	116	35.8 %
missing	1	0.3 %
Total	324	100.0 %
Mean	15.3 years	
Median	13.5 years	

Table 4.2(c): Number of appraisal cycles experienced in present school

Number of appraisal cycles experienced	Respondents in Questionnaires	
	Number	Percentage
0	20	6.2 %
1-3	153	47.2 %
4-6	77	23.8 %
7-9	19	5.9 %
> 9	54	16.7 %
missing	1	0.3 %
Total	324	100.0 %
Mean	4.4 cycles	
Median	1.8 cycles	

Table 4.2(d): Academic qualifications of respondents

Academic qualification	Respondents in Questionnaires	
	Number	Percentage
Non-degree holder	14	4.3 %
Bachelor degree	193	59.6 %
Masters degree	116	35.8 %
Doctorate degree	1	0.3 %
Total	324	100.0 %

Table 4.2(e) Teacher training of respondents

<i>Teacher training</i>	<i>Respondents in Questionnaires</i>	
	<i>Number</i>	<i>Percentage</i>
With teacher training	317	97.8 %
Without teacher training	7	2.2 %
Total	324	100.0 %

Table 4.2(f) Major responsibility of respondents

<i>Major responsibility</i>	<i>Respondents in Questionnaires</i>	
	<i>Number</i>	<i>Percentage</i>
Class teacher	132	40.7 %
Middle manager	170	52.5 %
Senior management	22	6.8 %
Total	324	100.0 %

Table 4.2(g) Role of respondents in appraisal process

<i>Role in appraisal process</i>	<i>Respondents in Questionnaires</i>	
	<i>Number</i>	<i>Percentage</i>
Appraisee only	131	40.4 %
Appraiser only	9	2.8 %
Dual roles of appraiser and appraisee	183	56.5 %
Missing	1	0.3 %
Total	324	100.0 %

Table 4.2(h) Main appraiser of respondents

<i>Main appraiser</i>	<i>Respondents in Questionnaires</i>	
	<i>Number</i>	<i>Percentage</i>
Principal	92	28.4 %
Vice-principal	59	18.2 %
Subject panel chairperson	118	36.4 %
Committee head	22	6.8 %
Peers	18	5.6 %
Others	15	4.6 %
Total	324	100.0 %



Table 4.2(i) Secondary appraiser of respondents

Secondary appraiser	Respondents in Questionnaires	
	Number	Percentage
Principal	44	13.6 %
Vice-principal	51	15.7 %
Subject panel chairperson	22	6.8 %
Committee head	52	16.0 %
Peers	11	3.4 %
Others	5	1.5 %
Nil	139	42.9 %
Total	324	100.0 %

Table 4.2(j) Reciprocal relationship between appraiser and appraisee

Reciprocal relationship between appraiser and appraisee	Respondents in Questionnaires	
	Number	Percentage
Yes	121	37.3 %
No	202	62.3 %
Missing	1	0.3 %
Total	324	100.0 %

Table 4.3(a): Significance of the problem – “Not having clearly established performance criteria or not having an effective rating instrument”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	82	25.3
1 (Least significant)	87	26.9
2 (Moderate significant)	104	32.1
3 (Most significant)	51	15.7
Total	324	100.0 %
Mean	1.38	
Median	1.00	

Table 4.3(b): Significance of the problem – “Lack of trust and confidence between appraiser and appraisee”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	81	25.0 %
1 (Least significant)	99	30.6 %
2 (Moderate significant)	82	25.3 %
3 (Most significant)	61	18.8 %
Missing	1	0.3 %
Total	324	100.0 %
Mean	1.38	
Median	1.00	

Table 4.3(c): Significance of the problem – “Appraiser lack of hands-on information about appraisee’s actual performance”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	55	17.0 %
1 (Least significant)	114	35.2 %
2 (Moderate significant)	107	33.0 %
3 (Most significant)	48	14.8 %
Total	324	100.0 %
Mean	1.46	
Median	1.00	

Table 4.3(d): Significance of the problem – “Lack of ongoing performance feedback”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	39	12.0 %
1 (Least significant)	114	35.2 %
2 (Moderate significant)	131	40.4 %
3 (Most significant)	40	12.3 %
Total	324	100.0 %
Mean	1.53	
Median	2.00	

Table 4.3(e): Significance of the problem – “Over-critical or hindsight reviews”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	65	20.1 %
1 (Least significant)	129	39.8 %
2 (Moderate significant)	93	28.7 %
3 (Most significant)	36	11.1 %
Missing	1	0.3 %
Total	324	100.0 %
Mean	1.31	
Median	1.00	

Table 4.3(f): Significance of the problem – “Perceived political reviews”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	102	31.5 %
1 (Least significant)	121	37.3 %
2 (Moderate significant)	68	21.0 %
3 (Most significant)	30	9.3 %
Missing	3	0.9 %
Total	324	100.0 %
Mean	1.08	
Median	1.00	

Table 4.3(g): Significance of the problem – “Lack of focus on development or improvement”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	47	14.5 %
1 (Least significant)	126	38.9 %
2 (Moderate significant)	106	32.7 %
3 (Most significant)	44	13.6 %
Missing	1	0.3 %
Total	324	100.0 %
Mean	1.46	
Median	1.00	

Table 4.3(h): Significance of the problem – “Ineffective link to reward systems”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	34	10.5 %
1 (Least significant)	106	32.7 %
2 (Moderate significant)	124	38.3 %
3 (Most significant)	59	18.2 %
Missing	1	0.3 %
Total	324	100.0 %
Mean	1.64	
Median	2.00	

Table 4.3(i): Significance of the problem – “Appraiser lacks rating skills or motivation”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	57	17.6 %
1 (Least significant)	126	38.9 %
2 (Moderate significant)	95	29.3 %
3 (Most significant)	45	13.9 %
Missing	1	0.3 %
Total	324	100.0 %
Mean	1.40	
Median	1.00	

Table 4.3(j): Significance of the problem – “Review process lacks structure and substance”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	51	15.7 %
1 (Least significant)	128	39.5 %
2 (Moderate significant)	111	34.3 %
3 (Most significant)	33	10.2 %
Missing	1	0.3 %
Total	324	100.0 %
Mean	1.39	
Median	1.00	

Table 4.3(k): Significance of the problem – “Insufficient training, e.g. conflict resolution skills”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	30	9.3 %
1 (Least significant)	126	38.9 %
2 (Moderate significant)	121	37.3 %
3 (Most significant)	46	14.2 %
Missing	1	0.3 %
Total	324	100.0 %
Mean	1.57	
Median	2.00	

Table 4.3(l): Significance of the problem – “Insufficient time”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	61	18.8 %
1 (Least significant)	121	37.3 %
2 (Moderate significant)	101	31.2 %
3 (Most significant)	41	12.7 %
Missing	1	0.3 %
Total	324	100.0 %
Mean	1.38	
Median	1.00	

Table 4.3(m): Significance of the problem – “Insufficient financial resources”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	115	35.5 %
1 (Least significant)	139	42.9 %
2 (Moderate significant)	56	17.3 %
3 (Most significant)	14	4.3 %
Total	324	100.0 %
Mean	0.90	
Median	1.00	

Table 4.3(n): Significance of the problem – “Insufficient human resources”

Significance of the problem	Respondents in Questionnaires	
	Number	Percentage
0 (Not a problem)	68	21.0 %
1 (Least significant)	121	37.3 %
2 (Moderate significant)	99	30.6 %
3 (Most significant)	36	11.1 %
Total	324	100.0 %
Mean	1.32	
Median	1.00	

Table 4.3(o): Chi-Square Test of respondents' choices to the fourteen problems

Question	Chi-Square	Df	Asymp. Sig.
Q1	18.099	3	.000
Q2	8.975	3	.030
Q3	43.580	3	.000
Q4	86.840	3	.000
Q5	58.560	3	.000
Q6	59.922	3	.000
Q7	64.084	3	.000
Q8	63.985	3	.000
Q9	50.684	3	.000
Q10	78.176	3	.000
Q11	92.269	3	.000
Q12	49.383	3	.000
Q13	118.938	3	.000
Q14	50.840	3	.000

a. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 81.0.

b. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 80.8.

c. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 80.3.

Table 4.3(p): Correlations between problems (Kendall's tau\_b coefficient)

		Q1	Q2	Q3	Q4	Q5	Q6	Q7
Q1	Correlation Coefficient Sig. (2-tailed)	1.000 .	.540** .000	.552** .000	.510** .000	.469** .000	.438** .000	.460** .000
Q2	Correlation Coefficient Sig. (2-tailed)	.540** .000	1.000 .	.610** .000	.491** .000	.607** .000	.545** .000	.514** .000
Q3	Correlation Coefficient Sig. (2-tailed)	.552** .000	.610** .000	1.000 .	.561** .000	.571** .000	.493** .000	.525** .000
Q4	Correlation Coefficient Sig. (2-tailed)	.510** .000	.491** .000	.561** .000	1.000 .	.490** .000	.385** .000	.594** .000
Q5	Correlation Coefficient Sig. (2-tailed)	.469** .000	.607** .000	.571** .000	.490** .000	1.000 .	.564** .000	.530** .000
Q6	Correlation Coefficient Sig. (2-tailed)	.438** .000	.545** .000	.493** .000	.385** .000	.564** .000	1.000 .	.417** .000
Q7	Correlation Coefficient Sig. (2-tailed)	.460** .000	.514** .000	.525** .000	.594** .000	.530** .000	.417** .000	1.000 .
Q8	Correlation Coefficient Sig. (2-tailed)	.370** .000	.325** .000	.358** .000	.431** .000	.318** .000	.266** .000	.467** .000
Q9	Correlation Coefficient Sig. (2-tailed)	.452** .000	.531** .000	.506** .000	.421** .000	.526** .000	.492** .000	.527** .000
Q10	Correlation Coefficient Sig. (2-tailed)	.522** .000	.505** .000	.515** .000	.451** .000	.499** .000	.510** .000	.557** .000
Q11	Correlation Coefficient Sig. (2-tailed)	.443** .000	.463** .000	.495** .000	.421** .000	.474** .000	.409** .000	.481** .000
Q12	Correlation Coefficient Sig. (2-tailed)	.211** .000	.285** .000	.307** .000	.262** .000	.324** .000	.295** .000	.353** .000
Q13	Correlation Coefficient Sig. (2-tailed)	.223** .000	.245** .000	.247** .000	.194** .000	.254** .000	.285** .000	.314** .000
Q14	Correlation Coefficient Sig. (2-tailed)	.267** .000	.270** .000	.305** .000	.257** .000	.294** .000	.270** .000	.381** .000

\*\*Correlation is significant at the 0.01 level (2-tailed).



		Q8	Q9	Q10	Q11	Q12	Q13	Q14
Q1	Correlation Coefficient Sig. (2-tailed)	.370** .000	.452** .000	.522** .000	.443** .000	.211** .000	.223** .000	.267** .000
Q2	Correlation Coefficient Sig. (2-tailed)	.325** .000	.531** .000	.505** .000	.463** .000	.285** .000	.245** .000	.270** .000
Q3	Correlation Coefficient Sig. (2-tailed)	.358** .000	.506** .000	.515** .000	.495** .000	.307** .000	.247** .000	.305** .000
Q4	Correlation Coefficient Sig. (2-tailed)	.431** .000	.421** .000	.451** .000	.421** .000	.262** .000	.194** .000	.257** .000
Q5	Correlation Coefficient Sig. (2-tailed)	.318** .000	.526** .000	.499** .000	.474** .000	.324** .000	.254** .000	.294** .000
Q6	Correlation Coefficient Sig. (2-tailed)	.266** .000	.492** .000	.510** .000	.409** .000	.295** .000	.285** .000	.270** .000
Q7	Correlation Coefficient Sig. (2-tailed)	.467** .000	.527** .000	.557** .000	.481** .000	.353** .000	.314** .000	.381** .000
Q8	Correlation Coefficient Sig. (2-tailed)	1.000 .	.395** .000	.387** .000	.389** .000	.239** .000	.276** .000	.231** .000
Q9	Correlation Coefficient Sig. (2-tailed)	.395** .000	1.000 .	.616** .000	.559** .000	.308** .000	.273** .000	.316** .000
Q10	Correlation Coefficient Sig. (2-tailed)	.387** .000	.616** .000	1.000 .	.554** .000	.348** .000	.283** .000	.329** .000
Q11	Correlation Coefficient Sig. (2-tailed)	.389** .000	.559** .000	.554** .000	1.000 .	.352** .000	.314** .000	.341** .000
Q12	Correlation Coefficient Sig. (2-tailed)	.239** .000	.308** .000	.348** .000	.352** .000	1.000 .	.491** .000	.581** .000
Q13	Correlation Coefficient Sig. (2-tailed)	.276** .000	.273** .000	.283** .000	.314** .000	.491** .000	1.000 .	.623** .000
Q14	Correlation Coefficient Sig. (2-tailed)	.231** .000	.316** .000	.329** .000	.341** .000	.581** .000	.623** .000	1.000 .

\*\*Correlation is significant at the 0.01 level (2-tailed).

Table 4.3(q): Grouping of the correlation coefficients between problems

Category	Question Pairs
Strongly correlated (absolute value of coefficient $\geq 0.8$ )	-----
Moderately correlated ( $0.5 \geq$ absolute value of coefficient $< 0.8$ )	Q1-Q2, Q1-Q3, Q1-Q4, Q1-Q10, Q2-Q3, Q2-Q5, Q2-Q6, Q2-Q7, Q2-Q9, Q2-Q10, Q3-Q4, Q3-Q5, Q3-Q7, Q3-Q9, Q3-Q10, Q4-Q7, Q5-Q6, Q5-Q7, Q5-Q9, Q6-Q10, Q7-Q9, Q7-Q10, Q9-Q10, Q9-Q11, Q10-Q11, Q12-Q14, Q13-Q14
Weakly correlated ( $0.3 \geq$ absolute value of coefficient $< 0.5$ )	Q1-Q5, Q1-Q6, Q1-Q7, Q1-Q8, Q1-Q9, Q1-Q11, Q2-Q4, Q2-Q8, Q2-Q11, Q3-Q6, Q3-Q8, Q3-Q11, Q3-Q12, Q4-Q5, Q4-Q6, Q4-Q8, Q4-Q9, Q4-Q10, Q4-Q11, Q5-Q8, Q5-Q10, Q5-Q11, Q5-Q12, Q6-Q7, Q6-Q9, Q6-Q11, Q7-Q8, Q7-Q11, Q7-Q12, Q7-Q13, Q7-Q14, Q8-Q9, Q8-Q10, Q8-Q11, Q9-Q12, Q9-Q14, Q10-Q12, Q10-Q14, Q11-Q12, Q11-Q13, Q11-Q14, Q12-Q13
Not correlated (absolute value of coefficient $< 0.3$ )	Q1-Q12, Q1-Q13, Q1-Q14, Q2-Q12, Q2-Q13, Q2-Q14, Q3-Q13, Q3-Q14, Q4-Q12, Q4-Q13, Q4-Q14, Q5-Q13, Q5-Q14, Q6-Q8, Q6-Q12, Q6-Q13, Q6-Q14, Q8-Q12, Q8-Q13, Q8-Q14, Q9-Q13, Q10-Q13

Table 4.3(r): KMO (Kaiser-Meyer-Olkin) and Bartlett's Test

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.936
Bartlett's Test of Sphericity	Approx. Chi-Square	2586.049
	df	91
	Sig.	.000

Table 4.3(s): Total variance of the 14 problems explained

Component	Initial Eigenvalues			Extraction Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	7.173	51.234	51.234	7.173	51.234	51.234
2	1.613	11.523	62.756	1.613	11.523	62.756
3	.843	6.023	68.780	.843	6.023	68.780
4	.639	4.562	73.342	.639	4.562	73.342
5	.540	3.857	77.199	.540	3.857	77.199
6	.510	3.641	80.840	.510	3.641	80.840
7	.440	3.143	83.983			
8	.407	2.910	86.893			
9	.363	2.595	89.488			
10	.328	2.342	91.829			
11	.312	2.226	94.056			
12	.300	2.143	96.199			
13	.283	2.021	98.220			
14	.249	1.780	100.000			

Extraction Method: Principal Component Analysis.

Table 4.3(t): Rotated component matrix of the 14 problems

	Component					
	1	2	3	4	5	6
Q1	.307	.102	.272	.220	.785	.153
Q2	.292	.105	.619	.348	.385	.064
Q3	.311	.145	.413	.440	.515	.022
Q4	.173	.098	.239	.734	.357	.252
Q5	.315	.150	.690	.389	.148	.042
Q6	.248	.165	.849	.054	.160	.133
Q7	.381	.238	.260	.636	.122	.307
Q8	.280	.135	.117	.271	.121	.848
Q9	.731	.154	.381	.163	.126	.201
Q10	.694	.165	.309	.254	.224	.150
Q11	.724	.274	.186	.165	.269	.147
Q12	.273	.753	.159	.345	-.134	-.094
Q13	.041	.850	.158	-.101	.161	.283
Q14	.195	.866	.066	.145	.136	.027

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalization.

Rotation converged in 10 iterations.



Table 4.4(a) Impact of high power distance on appraisal process

Impact of high power distance	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	20	164	6.2 %	50.7%
-2 (moderate hindrance)	76		23.5 %	
-1 (least hindrance)	68		21.0 %	
0 (no impact)	86		26.5 %	
+1 (least help)	25	74	7.7 %	22.9%
+2 (moderate help)	42		13.0 %	
+3 (most help)	7		2.2 %	
Total	324		100.0 %	
Mean	-0.46			
Median	-1.00			

Table 4.4(b) Impact of low uncertainty avoidance on appraisal process

Impact of low uncertainty avoidance	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	16	183	4.9 %	56.5%
-2 (moderate hindrance)	85		26.2 %	
-1 (least hindrance)	82		25.3 %	
0 (no impact)	84		25.9 %	
+1 (least help)	38	54	11.7 %	16.7%
+2 (moderate help)	14		4.3 %	
+3 (most help)	2		0.6 %	
Missing	3		0.9 %	
Total	324		100.0 %	
Mean	-0.71			
Median	-1.00			

Table 4.4(c) Impact of collectivism on appraisal process

Impact of collectivism	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	13	122	4.0	37.7%
-2 (moderate hindrance)	48		14.8	
-1 (least hindrance)	61		18.8	
0 (no impact)	84		25.9	
+1 (least help)	50	115	15.4	35.5%
+2 (moderate help)	53		16.4	
+3 (most help)	12		3.7	
Missing	3		0.9 %	
Total	324		100.0 %	
Mean	-0.01			
Median	0.00			

Table 4.4(d) Impact of masculinity on appraisal process

Impact of masculinity	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	23	168	7.1 %	51.9%
-2 (moderate hindrance)	79		24.4 %	
-1 (least hindrance)	66		20.4 %	
0 (no impact)	91		28.1 %	
+1 (least help)	39	62	12.0 %	19.1%
+2 (moderate help)	22		6.8 %	
+3 (most help)	1		0.3 %	
Missing	3		0.9 %	
Total	324		100.0 %	
Mean	-0.64			
Median	-1.00			

Table 4.4(e): Chi-Square Test of respondents' Choices to the four cultural dimensions

Question	Chi-Square	df	Asymp. Sig.
Q15	121.796	6	.000
Q16	178.486	6	.000
Q17	86.854	6	.000
Q18	145.950	6	.000

a. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.3.  
b. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 45.9.

Table 4.4(f) Correlations between cultural dimensions (Kendall's tau\_b coefficient)

		Q15	Q16	Q17	Q18
Q15	Correlation Coefficient	1.000	.383**	.302**	.261**
	Sig. (2 tailed)	.	.000	.000	.000
Q16	Correlation Coefficient	.383**	1.000	.256**	.259**
	Sig. (2 tailed)	.000	.	.000	.000
Q17	Correlation Coefficient	.302**	.256**	1.000	.217**
	Sig. (2 tailed)	.000	.000	.	.000
Q18	Correlation Coefficient	.261**	.259**	.217**	1.000
	Sig. (2 tailed)	.000	.000	.000	.

\*\*Correlation is significant at the 0.01 level (2-tailed).

Table 4.5(a) Impact of maintenance of harmonious relations and conflict avoidance on appraisal process

Impact of maintenance of harmonious relations and conflict avoidance	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	27	144	8.3 %	44.4%
-2 (moderate hindrance)	69		21.3 %	
-1 (least hindrance)	48		14.8 %	
0 (no impact)	38		11.7 %	
+1 (least help)	55	141	17.0 %	43.5%
+2 (moderate help)	63		19.4 %	
+3 (most help)	23		7.1 %	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	-0.05			
Median	0.00			

Table 4.5(b) Impact of concept of face saving on appraisal process

Impact of concept of face saving	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	42	221	13.0 %	68.2%
-2 (moderate hindrance)	97		29.9 %	
-1 (least hindrance)	82		25.3 %	
0 (no impact)	48		14.8 %	
+1 (least help)	29	54	9.0 %	16.7%
+2 (moderate help)	20		6.2 %	
+3 (most help)	5		1.5 %	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	-0.98			
Median	-1.00			

Table 4.5(c) Impact of connection (Guanxi) and human feelings (Ren Qing) on appraisal process

Impact of connection (Guanxi) and human feelings (Ren Qing)	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	44	213	13.6 %	65.7%
-2 (moderate hindrance)	103		31.8 %	
-1 (least hindrance)	66		20.4 %	
0 (no impact)	40		12.3 %	
+1 (least help)	36	70	11.1 %	21.6%
+2 (moderate help)	24		7.4 %	
+3 (most help)	10		3.1 %	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	-0.90			
Median	-1.00			

Table 4.5(d) Impact of concept of reciprocation on appraisal process

Impact of reciprocation	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	22	171	6.8 %	52.8%
-2 (moderate hindrance)	84		25.9 %	
-1 (least hindrance)	65		20.1 %	
0 (no impact)	92		28.4 %	
+1 (least help)	33	59	10.2 %	18.2%
+2 (moderate help)	21		6.5 %	
+3 (most help)	5		1.5 %	
Missing	2		0.6 %	
Total	324		100.0 %	
Mean	-0.65			
Median	-1.00			

Table 4.5(e) Impact of concept of trust between friends on appraisal process

Impact of concept of trust between friends	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	5	106	1.5 %	32.7%
-2 (moderate hindrance)	45		13.9 %	
-1 (least hindrance)	56		17.3 %	
0 (no impact)	80		24.7 %	
+1 (least help)	66	137	20.4 %	42.3%
+2 (moderate help)	54		16.7 %	
+3 (most help)	17		5.2 %	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	+0.20			
Median	0.00			

Table 4.5(f) Impact of respect for age and seniority on appraisal process

Impact of respect for age and seniority	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	13	144	4.0 %	44.4%
-2 (moderate hindrance)	70		21.6 %	
-1 (least hindrance)	61		18.8 %	
0 (no impact)	75		23.1 %	
+1 (least help)	60	104	18.5 %	32.1%
+2 (moderate help)	36		11.1 %	
+3 (most help)	8		2.5 %	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	-0.26			
Median	0.00			

Table 4.5(g): Chi-Square Test of respondents' Choices to the six cultural values

Question	Chi-Square	df	Asymp. Sig.
Q19	40.241	6	.000
Q20	142.229	6	.000
Q21	120.687	6	.000
Q22	151.565	6	.000
Q23	91.950	6	.000
Q24	96.892	6	.000

- a. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.1.  
b. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.0.

Table 4.5(h) Correlations between the six cultural values (Kendall's tau\_b coefficient)

		Q19	Q20	Q21	Q22	Q23	Q24
Q19	Correlation Coefficient	1.000**	.417**	.479**	.378**	.512**	.490**
	Sig. (2-tailed)	.	.000	.000	.000	.000	.000
Q20	Correlation Coefficient	.417**	1.000**	.679**	.536**	.260**	.428**
	Sig. (2-tailed)	.000	.	.000	.000	.000	.000
Q21	Correlation Coefficient	.479**	.679**	1.000**	.606**	.347**	.455**
	Sig. (2-tailed)	.000	.000	.	.000	.000	.000
Q22	Correlation Coefficient	.378**	.536**	.606**	1.000**	.378**	.429**
	Sig. (2-tailed)	.000	.000	.000	.	.000	.000
Q23	Correlation Coefficient	.512**	.260**	.347**	.378**	1.000**	.579**
	Sig. (2-tailed)	.000	.000	.000	.000	.	.000
Q24	Correlation Coefficient	.490**	.428**	.455**	.429**	.579**	1.000**
	Sig. (2-tailed)	.000	.000	.000	.000	.000	.

\*\*Correlation is significant at the 0.01 level (2-tailed).

Table 4.5(i): Grouping of the correlation coefficients between six cultural values

Category	Question Pairs
Strongly correlated (absolute value of coefficient $\geq 0.8$ )	-----
Moderately correlated ( $0.5 \geq$ absolute value of coefficient $< 0.8$ )	Q19-Q23, Q20-Q21, Q20-Q22, Q21-Q22, Q23-Q24
Weakly correlated ( $0.3 \geq$ absolute value of coefficient $< 0.5$ )	Q19-Q20, Q19-Q21, Q19-Q22, Q19-Q24, Q20-Q24, Q21-Q23, Q21-Q24,, Q22-Q23, Q22-Q24
Not correlated (absolute value of coefficient $< 0.3$ )	Q20-Q23

Table 4.5(j): KMO (Kaiser-Meyer-Olkin) and Bartlett's Test of the six cultural values

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.831
Bartlett's Test of Sphericity	Approx. Chi-Square	1058.126
	df	15
	Sig.	.000

Table 4.5(k): Total variance of the six cultural values explained

Component	Initial Eigenvalues			Extraction Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	3.754	62.573	62.573	3.754	62.573	62.573
2	.904	15.072	77.645	.904	15.072	77.645
3	.458	7.639	85.284			
4	.399	6.650	91.934			
5	.268	4.462	96.396			
6	.216	3.604	100.000			

Table 4.5(l): Rotated component matrix of the six cultural values

	Component	
	1	2
Q19	.371	.746
Q20	.886	.220
Q21	.863	.318
Q22	.782	.317
Q23	.159	.902
Q24	.365	.775

Extraction Method: Principal Component Analysis.  
Rotation Method: Varimax with Kaiser Normalization.  
Rotation converged in 3 iterations.

Table 4.6(a) Perceived impact on quality of lesson preparation

Perceived impact on quality of lesson preparation	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	3	30	0.9 %	9.3%
-2 (moderate hindrance)	12		3.7 %	
-1 (least hindrance)	15		4.6 %	
0 (no impact)	43		13.3 %	
+1 (least help)	76	251	23.5 %	77.5%
+2 (moderate help)	132		40.7 %	
+3 (most help)	43		13.3 %	
Total	324		100.0 %	
Mean	+1.30			
Median	+2.00			



Table 4.6(b) Perceived impact on Instructional skills

Perceived impact on Instructional skills	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	1	24	0.3 %	7.4%
-2 (moderate hindrance)	6		1.9 %	
-1 (least hindrance)	17		5.2 %	
0 (no impact)	47		14.5 %	
+1 (least help)	89	253	27.5 %	78.1%
+2 (moderate help)	135		41.7 %	
+3 (most help)	29		9.0 %	
Total	324		100.0 %	
Mean	+1.28			
Median	+2.00			

Table 4.6(c) Perceived impact on Quality of classroom management

Perceived impact on Quality of classroom management	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	1	26	0.3 %	8.0%
-2 (moderate hindrance)	10		3.1 %	
-1 (least hindrance)	15		4.6 %	
0 (no impact)	46		14.2 %	
+1 (least help)	81	252	25.0 %	77.8%
+2 (moderate help)	123		38.0 %	
+3 (most help)	48		14.8 %	
Total	324		100.0 %	
Mean	+1.34			
Median	+2.00			

Table 4.6(d) Perceived impact on Quality of marking assignments

Perceived impact on Quality of marking assignments	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	9	72	2.8 %	22.2%
-2 (moderate hindrance)	16		4.9 %	
-1 (least hindrance)	47		14.5 %	
0 (no impact)	106		32.7 %	
+1 (least help)	125	155	38.6 %	47.8%
+2 (moderate help)	21		6.5 %	
+3 (most help)	9		2.8 %	
Total	324		100.0 %	
Mean	+1.19			
Median	+1.00			

Table 4.6(e) Perceived impact on Ability to adopt fair and appropriate methods of student assessment

Perceived impact on Ability to adopt fair and appropriate methods of student assessment	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	2	16	0.6 %	4.9%
-2 (moderate hindrance)	4		1.2 %	
-1 (least hindrance)	10		3.1 %	
0 (no impact)	74		22.8 %	
+1 (least help)	105	234	32.4 %	72.2%
+2 (moderate help)	108		33.3 %	
+3 (most help)	21		6.5 %	
Total	324		100.0 %	
Mean	+1.11			
Median	+1.00			

Table 4.6(f) Perceived impact on Collaboration among teachers

Perceived impact on Collaboration among teachers	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	1	39	0.3 %	12.0%
-2 (moderate hindrance)	9		2.8 %	
-1 (least hindrance)	29		9.0 %	
0 (no impact)	82		25.3 %	
+1 (least help)	91	203	28.1 %	62.7%
+2 (moderate help)	86		26.5 %	
+3 (most help)	26		8.0 %	
Total	324		100.0 %	
Mean	+0.90			
Median	+1.00			

Table 4.6(g) Perceived impact on Overall teaching effectiveness

Perceived impact on Overall teaching effectiveness	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	2	20	0.6 %	6.2%
-2 (moderate hindrance)	8		2.5 %	
-1 (least hindrance)	10		3.1 %	
0 (no impact)	43		13.3 %	
+1 (least help)	100	260	30.9 %	80.2%
+2 (moderate help)	117		36.1 %	
+3 (most help)	43		13.3 %	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	+1.33			
Median	+1.00			



Table 4.6(h): Chi-Square Test of respondents' Choices to impacts on teaching behaviours

Question	Chi-Square	df	Asymp. Sig.
Q25	265.296	6	.000
Q26	313.821	6	.000
Q27	247.148	6	.000
Q28	228.741	5	.000
Q29	296.623	6	.000

- a. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.3.  
b. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 54.0.  
c. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.1.

Table 4.6(i) Correlations between the impacts on teaching behaviours (Kendall's tau\_b coefficient)

		Q25	Q26	Q27	Q28	Q29	Q30	Q31
Q25	Correlation Coefficient	1	0.748**	0.685**	0.593**	0.544**	0.432**	0.647**
	Sig. (2-tailed)	.	0.000	0.000	0.000	0.000	0.000	0.000
Q26	Correlation Coefficient	0.748**	1.000	0.672**	0.575**	0.577**	0.469**	0.651**
	Sig. (2-tailed)	0.000	.	0.000	0.000	0.000	0.000	0.000
Q27	Correlation Coefficient	0.685**	0.672**	1.000	0.575**	0.575**	0.466**	0.680**
	Sig. (2-tailed)	0.000	0.000	.	0.000	0.000	0.000	0.000
Q28	Correlation Coefficient	0.593**	0.575**	0.575**	1.000	0.624**	0.414**	0.576**
	Sig. (2-tailed)	0.000	0.000	0.000	.	0.000	0.000	0.000
Q29	Correlation Coefficient	0.544**	0.577**	0.575**	0.624**	1.000	0.545**	0.668**
	Sig. (2-tailed)	0.000	0.000	0.000	0.000	.	0.000	0.000
Q30	Correlation Coefficient	0.432**	0.469**	0.466**	0.414**	0.545**	1.000	0.606**
	Sig. (2-tailed)	0.000	0.000	0.000	0.000	0.000	.	0.000
Q31	Correlation Coefficient	0.647**	0.651**	0.680**	0.576**	0.668**	0.606**	1.000
	Sig. (2-tailed)	0.000	0.000	0.000	0.000	0.000	0.000	.

\*\*Correlation is significant at the 0.01 level (2-tailed).

Table 4.6(j): Grouping of the correlation coefficients between impacts on teaching behaviours

Category	Question Pairs
Strongly correlated (absolute value of coefficient $\geq 0.8$ )	-----
Moderately correlated ( $0.5 \geq$ absolute value of coefficient $< 0.8$ )	Q25-Q26, Q25-Q27, Q25-Q28, Q25-Q29, Q25-Q31, Q26-Q27, Q26-Q28, Q26-Q29, Q26-Q31, Q27-Q28, Q27-Q29, Q27-Q31, Q28-Q29, Q28-Q31, Q29-Q30, Q29-Q31, Q30-Q31
Weakly correlated ( $0.3 \geq$ absolute value of coefficient $< 0.5$ )	Q25-Q30, Q26-Q30, Q27-Q30, Q28-Q30
Not correlated (absolute value of coefficient $< 0.3$ )	-----

Table 4.6(k): KMO (Kaiser-Meyer-Olkin) and Bartlett's Test of the six cultural values

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.892
Bartlett's Test of Sphericity	Approx. Chi-Square	1294.080
	df	15
	Sig.	.000

Table 4.6(l): Total variance of the teaching behaviours listed in Q25 to Q30 explained

Component	Initial Eigenvalues			Extraction Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	4.194	69.907	69.907	4.194	69.907	4.194
2	.603	10.050	79.957	.603	10.050	79.957
3	.443	7.390	87.347			
4	.287	4.785	92.132			
5	.270	4.503	96.635			
6	.202	3.365	100.000			

Table 4.6(m): Rotated component matrix of the teaching behaviours listed in Q25 to Q30

	Component	
	1	2
Q25	.868	.247
Q26	.844	.325
Q27	.811	.349
Q28	.765	.349
Q29	.569	.658
Q30	.260	.924

Extraction Method: Principal Component Analysis.  
Rotation Method: Varimax with Kaiser Normalization.  
Rotation converged in 3 iterations.

Table 4.6(n): Variables Entered/Removed in discriminate analysis of overall teaching effectiveness

Step	Entered	Removed	Wilks' Lambda							
			Statistic	df1	df2	df3	Exact F			
							Statistic	df1	df2	Sig.
1	Q27		.618	1	2	320.000	98.892	2	320.000	.000
2	Q30		.551	2	2	320.000	55.377	4	638.000	.000
3	Q26		.522	3	2	320.000	40.675	6	636.000	.000

At each step, the variable that minimizes the overall Wilks' Lambda is entered.

- a. Maximum number of steps is 12.
- b. Minimum partial F to enter is 3.84.
- c. Maximum partial F to remove is 2.71.
- d. F level, tolerance, or VIN insufficient for further computation.

Table 4.6(o): Eigenvalues in discriminate analysis of overall teaching effectiveness

Function	Eigenvalue	% of Variance	Cumulative %	Canonical Correlation
1	0.905753	99.48378	99.48378	0.6894
2	0.0047	0.516224	100	0.068396

a. First 2 canonical discriminant functions were used in the analysis.

Table 4.6(p): Standardized Canonical Discriminant Function Coefficients

	Function	
	1	2
Q26	.406	1.045
Q27	.450	-1.150
Q30	.427	.143

Table 4.6(q): Structure Matrix in discriminate analysis of overall teaching effectiveness

	Function	
	1	2
Q27	.825*	-.483
Q26	.812*	.408
Q30	.700*	.122
Q25 <sup>a</sup>	.641*	.101
Q29 <sup>a</sup>	.578*	.026
Q28 <sup>a</sup>	.543*	-.032

Pooled within-groups correlations between discriminating variables and standardized canonical discriminant functions.

Variables ordered by absolute size of correlation within function.

\*Largest absolute correlation between each variable and any discriminant function

<sup>a</sup> This variable not used in the analysis.

Table 4.6(r): Classification Results

Overall teaching Effectiveness			Predicted Group Membership			Total
			Negative Impact	No Impact	Positive Impact	
Original Count	Negative Impact		16	3	1	20
	No Impact		4	36	3	43
	Positive Impact		6	42	212	260
	Ungrouped cases		0	0	1	1
%	Negative Impact		80.0	15.0	5.0	100.0
	No Impact		9.3	83.7	7.0	100.0
	Positive Impact		2.3	16.2	81.5	100.0
	Ungrouped cases		.0	.0	100.0	100.0

81.7% of original grouped cases correctly classified.

Table 4.7(a) Perceived impact on Appraiser-Appraisee relationship

Perceived impact on Appraiser-Appraisee relationship	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	8	95	2.5 %	29.3%
-2 (moderate hindrance)	23		7.1 %	
-1 (least hindrance)	64		19.8 %	
0 (no impact)	92		28.4 %	
+1 (least help)	59	135	18.2 %	41.7%
+2 (moderate help)	59		18.2 %	
+3 (most help)	17		5.2 %	
Missing	2		0.6 %	
Total	324		100.0 %	
Mean	+0.29			
Median	0.00			

Table 4.7(b) Perceived impact on Teacher-Student relationship

Perceived impact on Teacher-Student relationship	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	4	32	1.2	9.9%
-2 (moderate hindrance)	7		2.2	
-1 (least hindrance)	21		6.5	
0 (no impact)	131		40.4	
+1 (least help)	63	160	19.4	49.4%
+2 (moderate help)	76		23.5	
+3 (most help)	21		6.5	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	+0.72			
Median	0.00			

Table 4.7(c) Perceived impact on Peer relationship

Perceived impact on Peers relationship	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	3	54	0.9	16.7%
-2 (moderate hindrance)	18		5.6	
-1 (least hindrance)	33		10.2	
0 (no impact)	119		36.7	
+1 (least help)	74	150	22.8	46.3%
+2 (moderate help)	66		20.4	
+3 (most help)	10		3.1	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	+0.49			
Median	0.00			

Table 4.7(d) Perceived impact on Teacher-School relationship

Perceived impact on Teacher-School relationship	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	3	77	0.9	23.8%
-2 (moderate hindrance)	23		7.1	
-1 (least hindrance)	51		15.7	
0 (no impact)	85		26.2	
+1 (least help)	73	162	22.5	50.0%
+2 (moderate help)	73		22.5	
+3 (most help)	16		4.9	
Total	324		100.0 %	
Mean	+0.50			
Median	+0.50			

Table 4.7(e) Perceived impact on Teacher-Community (society) relationship

Perceived impact on Teacher-Community (society) relationship	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	3	45	0.9	13.9%
-2 (moderate hindrance)	10		3.1	
-1 (least hindrance)	32		9.9	
0 (no impact)	181		55.9	
+1 (least help)	64	95	19.8	29.3%
+2 (moderate help)	27		8.3	
+3 (most help)	4		1.2	
Missing	3		0.9 %	
Total	324		100.0 %	
Mean	+0.21			
Median	0.00			

Table 4.7(f): Chi-Square Test of respondents' Choices to impacts on relationship

Question	Chi-Square	df	Asymp. Sig.
Q32	121.565	6	.000
Q33	280.625	6	.000
Q34	229.957	6	.000
Q35	135.710	6	.000
Q36	523.688	6	.000

- a. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.0.
- b. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.1.
- c. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.3.
- d. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 45.9.



Table 4.7(g) Correlations between the impacts on relationship (Kendall's tau\_b coefficient)

		Q32	Q33	Q34	Q35	Q36
Q32	Correlation Coefficient	1.000	.540**	.631**	.620**	.447**
	Sig. (2-tailed)	.	.000	.000	.000	.000
Q33	Correlation Coefficient	.540**	1.000	.646**	.571**	.496**
	Sig. (2-tailed)	.000	.	.000	.000	.000
Q34	Correlation Coefficient	.631**	.646**	1.000	.678**	.493**
	Sig. (2-tailed)	.000	.000	.	.000	.000
Q35	Correlation Coefficient	.620**	.571**	.678**	1.000	.461**
	Sig. (2-tailed)	.000	.000	.000	.	.000
Q36	Correlation Coefficient	.447**	.496**	.493**	.461**	1.000
	Sig. (2-tailed)	.000	.000	.000	.000	.

Table 4.7(h): KMO (Kaiser-Meyer-Olkin) and Bartlett's Test of the impact on relationship

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.879
Bartlett's Test of Sphericity	Approx. Chi-Square	902.583
	df	10
	Sig.	.000

Table 4.7(i): Total variance of the impact on relationship listed in Q32 to Q36 explained

Component	Initial Eigenvalues			Extraction Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	3.518	70.353	70.353	3.518	70.353	70.353
2	.538	10.754	81.107	.538	10.754	81.107
3	.388	7.762	88.869			
4	.308	6.165	95.033			
5	.248	4.967	100.000			

Table 4.7(j): Rotated component matrix of the impact on relationship listed in Q32 to Q36

	Component	
	1	2
Q32	.853	.227
Q33	.707	.459
Q34	.827	.356
Q35	.843	.267
Q36	.304	.939

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalization.

Rotation converged in 3 iterations.

Table 4.8(a) Perceived impact on Understanding of subject knowledge

Perceived impact on Understanding of subject knowledge	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	3	15	0.9 %	4.6%
-2 (moderate hindrance)	5		1.5 %	
-1 (least hindrance)	7		2.2 %	
0 (no impact)	77		23.8 %	
+1 (least help)	83	231	25.6 %	71.3%
+2 (moderate help)	105		32.4 %	
+3 (most help)	43		13.3 %	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	+1.23			
Median	+1.00			

Table 4.8(b) Perceived impact on Understanding of teaching-learning process

Perceived impact on Understanding of teaching-learning process	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	3	14	0.9 %	4.3%
-2 (moderate hindrance)	1		0.3 %	
-1 (least hindrance)	10		3.1 %	
0 (no impact)	58		17.9 %	
+1 (least help)	93	251	28.7 %	77.5%
+2 (moderate help)	121		37.3 %	
+3 (most help)	37		11.4 %	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	+1.32			
Median	+1.00			

Table 4.8(c) Perceived impact on Understanding of personal strengths and weaknesses

Perceived impact on Understanding of personal strengths and weaknesses	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	2	11	0.6 %	3.4%
-2 (moderate hindrance)	3		0.9 %	
-1 (least hindrance)	6		1.9 %	
0 (no impact)	35		10.8 %	
+1 (least help)	90	278	27.8 %	85.8%
+2 (moderate help)	147		45.4 %	
+3 (most help)	41		12.7 %	
Total	324		100.0 %	
Mean	+1.51			
Median	+2.00			

Table 4.8(d) Perceived impact on Knowing direction for professional development

Perceived impact on Knowing direction for professional development	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	2	16	0.6 %	4.9%
-2 (moderate hindrance)	1		0.3 %	
-1 (least hindrance)	13		4.0 %	
0 (no impact)	50		15.4 %	
+1 (least help)	105	258	32.4 %	79.6%
+2 (moderate help)	126		38.9 %	
+3 (most help)	27		8.3 %	
Total	324		100.0 %	
Mean	+1.29			
Median	+1.00			

Table 4.8(e): Chi-Square Test of respondents' Choices to impacts on teacher knowledge

Question	Chi-Square	df	Asymp. Sig.
Q37	235.591	6	.000
Q38	286.693	6	.000
Q39	381.704	6	.000
Q40	330.716	6	.000

- a. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.1.  
b. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.3.

Table 4.8(f) Correlations between the impacts on teacher knowledge (Kendall's tau\_b coefficient)

		Q37	Q38	Q39	Q40
Q37	Correlation Coefficient	1.000	.772**	.577**	.568**
	Sig. (2-tailed)	.	.000	.000	.000
Q38	Correlation Coefficient	.772**	1.000	.663**	.772**
	Sig. (2-tailed)	.000	.	.000	.000
Q39	Correlation Coefficient	.577**	.663**	1.000	.687**
	Sig. (2-tailed)	.000	.000	.	.000
Q40	Correlation Coefficient	.568**	.618**	.687**	1.000
	Sig. (2-tailed)	.000	.000	.000	.

\*\*Correlation is significant at the 0.01 level (2-tailed).

Table 4.8(g): KMO (Kaiser-Meyer-Olkin) and Bartlett's Test of the impact on teacher knowledge

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.804
Bartlett's Test of Sphericity	Approx. Chi-Square	1031.315
	df	10
	Sig.	.000



Table 4.8(h): Total variance of the impact on teacher knowledge listed in Q37 to Q40 explained

Component	Initial Eigenvalues			Extraction Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	3.247	81.169	81.169	3.247	81.169	81.169
2	.395	9.875	91.044	.395	9.875	91.044
3	.216	5.408	96.452			
4	.142	3.548	100.000			

Extraction Method: Principal Component Analysis.

Table 4.8(i): Rotated component matrix of the impact on teacher knowledge listed in Q37 to Q40

	Component	
	1	2
Q37	.896	.370
Q38	.828	.480
Q39	.452	.822
Q40	.371	.877

Extraction Method: Principal Component Analysis.  
Rotation Method: Varimax with Kaiser Normalization.  
Rotation converged in 3 iterations.

Table 4.8(j): Variables Entered/Removed in discriminate analysis of knowing direction for professional development

Step	Entered	Removed	Wilks' Lambda							
			Statistic	df1	df2	df3	Exact F			
							Statistic	df1	df2	Sig.
1	Q39		.596	1	2	319.000	108.087	2	319.000	.000
2	Q38		.564	2	2	319.000	52.625	4	636.000	.000

At each step, the variable that minimizes the overall Wilks' Lambda is entered.

- a. Maximum number of steps is 6.
- b. Minimum partial F to enter is 3.84.
- c. Maximum partial F to remove is 2.71.
- d. F level, tolerance, or VIN insufficient for further computation.

Table 4.8(k): Eigenvalues in discriminate analysis of knowing direction for professional development

Function	Eigenvalue	% of Variance	Cumulative %	Canonical Correlation
1	.765	99.5	99.5	.658
2	.004	.5	100.0	.061

a. First 2 canonical discriminant functions were used in the analysis.

Table 4.8(l): Standardized Canonical Discriminant Function Coefficients

	Function	
	1	2
Q39	.431	1.198
Q38	.674	-1.079

Table 4.8(m): Structure Matrix in discriminate analysis of knowing direction for professional development

	Function	
	1	2
Q39	.941	-.339
Q38	.848	.530
Q39 <sup>a</sup>	.691	.352

Pooled within-groups correlations between discriminating variables and standardized canonical discriminant functions.

Variables ordered by absolute size of correlation within function.

\*Largest absolute correlation between each variable and any discriminant function

<sup>a</sup> This variable not used in the analysis.

Table 4.8(n): Classification Results

Knowing direction of professional development			Predicted Group Membership			Total
			Negative Impact	No Impact	Positive Impact	
Original Count	Negative Impact		11	3	2	16
	No Impact		3	41	6	50
	Positive Impact		1	68	188	257
%	Negative Impact		68.8	18.8	12.5	100.0
	No Impact		6.0	82.0	12.0	100.0
	Positive Impact		.4	26.5	73.2	100.0

74.3% of original grouped cases correctly classified.

Table 4.9(a) Perceived impact on Reflection on teaching

Perceived impact on Reflection on teaching	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	2	13	0.6 %	4.0%
-2 (moderate hindrance)	3		0.9 %	
-1 (least hindrance)	8		2.5 %	
0 (no impact)	35		10.8 %	
+1 (least help)	109	275	33.6 %	84.9%
+2 (moderate help)	125		38.6 %	
+3 (most help)	41		12.7 %	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	+1.43			
Median	+2.00			

Table 4.9(b) Perceived impact on Openness to criticism

Perceived impact on Openness to criticism	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	2	36	0.6 %	11.1%
-2 (moderate hindrance)	6		1.9 %	
-1 (least hindrance)	28		8.6 %	
0 (no impact)	43		13.3 %	
+1 (least help)	102	245	31.5 %	75.6%
+2 (moderate help)	114		35.2 %	
+3 (most help)	29		9.0 %	
Total	324		100.0 %	
Mean	+1.15			
Median	+1.00			

Table 4.9(c) Perceived impact on Enthusiasm about teaching

Perceived impact on Enthusiasm about teaching	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	3	27	0.9 %	8.3%
-2 (moderate hindrance)	6		1.9 %	
-1 (least hindrance)	18		5.6 %	
0 (no impact)	87		26.9 %	
+1 (least help)	82	210	25.3 %	64.8%
+2 (moderate help)	87		26.9 %	
+3 (most help)	41		12.7 %	
Total	324		100.0 %	
Mean	+1.05			
Median	+1.00			

Table 4.9(d) Perceived impact on Teacher morale

Perceived impact on Teacher morale	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	6	69	1.9 %	21.3%
-2 (moderate hindrance)	17		5.2 %	
-1 (least hindrance)	46		14.2 %	
0 (no impact)	70		21.6 %	
+1 (least help)	65	185	20.1 %	57.1%
+2 (moderate help)	86		26.5 %	
+3 (most help)	34		10.5 %	
Total	324		100.0 %	
Mean	+0.74			
Median	+1.00			

Table 4.9(e): Chi-Square Test of respondents' Choices to impacts on teacher attitudes

Question	Chi-Square	df	Asymp. Sig.
Q41	337.752	6	.000
Q42	257.475	6	.000
Q43	192.617	6	.000
Q44	110.648	6	.000

a. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.1.

b. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.3.

Table 4.9(f) Correlations between the impacts on teacher attitudes (Kendall's tau\_b coefficient)

		Q41	Q42	Q43	Q44
Q41	Correlation Coefficient	1	0.647**	0.580**	0.439**
	Sig. (2-tailed)	.	0.000	0.000	0.000
Q42	Correlation Coefficient	0.647**	1.000	0.585**	0.492**
	Sig. (2-tailed)	0.000	.	0.000	0.000
Q43	Correlation Coefficient	0.580**	0.585**	1.000	0.703**
	Sig. (2-tailed)	0.000	0.000	.	0.000
Q44	Correlation Coefficient	0.439**	0.492**	0.703**	1.000
	Sig. (2-tailed)	0.000	0.000	0.000	.

\*\*Correlation is significant at the 0.01 level (2-tailed).

Table 4.9(g): Grouping of the correlation coefficients between impacts on teacher attitudes

Category	Question Pairs
Strongly correlated (absolute value of coefficient $\geq 0.8$ )	-----
Moderately correlated ( $0.5 \geq$ absolute value of coefficient $< 0.8$ )	Q41-Q42, Q41-Q43, Q42-Q43, Q43-Q44
Weakly correlated ( $0.3 \geq$ absolute value of coefficient $< 0.5$ )	Q41-Q44, Q42-Q44
Not correlated (absolute value of coefficient $< 0.3$ )	-----

Table 4.9(h): KMO (Kaiser-Meyer-Olkin) and Bartlett's Test of the impact on teacher knowledge

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.751
Bartlett's Test of Sphericity	Approx. Chi-Square	772.138
	df	10
	Sig.	.000

Table 4.9(i): Total variance of the impact on teacher attitudes listed in Q41 to Q44 explained

Component	Initial Eigenvalues			Extraction Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	2.956	73.911	73.911	2.956	73.911	73.911
2	.577	14.414	88.325	.577	14.414	88.325
3	.279	6.969	95.295			
4	.188	4.705	100.000			

Extraction Method: Principal Component Analysis.

Table 4.9(j): Rotated component matrix of the impact on attitudes listed in Q41 to Q44

	Component	
	1	2
Q41	.890	.294
Q42	.849	.353
Q43	.485	.800
Q44	.257	.931

Extraction Method: Principal Component Analysis.  
Rotation Method: Varimax with Kaiser Normalization.  
Rotation converged in 3 iterations.

Table 4.10(a) Perceived impact on “Giving fair and accurate assessment of teacher performance”

Perceived impact on “Giving fair and accurate assessment of teacher performance”	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	7	47	2.2 %	14.5%
-2 (moderate hindrance)	8		2.5 %	
-1 (least hindrance)	32		9.9 %	
0 (no impact)	45		13.9 %	
+1 (least help)	102	231	31.5 %	71.3%
+2 (moderate help)	90		27.8 %	
+3 (most help)	39		12.0 %	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	+1.02			
Median	+1.00			

Table 4.10(b) Perceived impact on “eliminating incompetent teachers”

Perceived impact on “Eliminating of incompetent teachers”	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	13	55	4.0 %	17.0%
-2 (moderate hindrance)	13		4.0 %	
-1 (least hindrance)	29		9.0 %	
0 (no impact)	100		30.9 %	
+1 (least help)	96	165	29.6 %	50.9%
+2 (moderate help)	61		18.8 %	
+3 (most help)	8		2.5 %	
Missing	4		1.2 %	
Total	324		100.0 %	
Mean	+0.46			
Median	+1.00			

Table 4.10(c) Perceived impact on “Making sound managerial decisions”

Perceived impact on “Making sound managerial decisions”	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	7	34	2.2	10.5%
-2 (moderate hindrance)	8		2.5	
-1 (least hindrance)	19		5.9	
0 (no impact)	81		25.0	
+1 (least help)	111	207	34.3	63.9%
+2 (moderate help)	82		25.3	
+3 (most help)	14		4.3	
Missing	2		0.6 %	
Total	324		100.0 %	
Mean	+0.81			
Median	+1.00			

Table 4.10(d) Perceived impact on “Fairness of staff promotion”

Perceived impact on “Fairness of staff promotion”	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	8	40	2.5 %	12.3%
-2 (moderate hindrance)	10		3.1 %	
-1 (least hindrance)	22		6.8 %	
0 (no impact)	69		21.3 %	
+1 (least help)	91	214	28.1 %	66.0%
+2 (moderate help)	89		27.5 %	
+3 (most help)	34		10.5 %	
Missing	1		0.3 %	
Total	324		100.0 %	
Mean	+0.94			
Median	+1.00			



Table 4.10(e) Perceived impact on “Improving student learning outcomes”

Perceived impact on “Improving student learning outcomes”	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	1	13	0.3 %	4.0%
-2 (moderate hindrance)	4		1.2 %	
-1 (least hindrance)	8		2.5 %	
0 (no impact)	88		27.2 %	
+1 (least help)	98	223	30.2 %	68.8%
+2 (moderate help)	96		29.6 %	
+3 (most help)	29		9.0 %	
Total	324		100.0 %	
Mean	+1.10			
Median	+1.00			

Table 4.10(f) Perceived impact on “Improve school accountability”

Perceived impact on “Improve school accountability”	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	1	19	0.3 %	5.9%
-2 (moderate hindrance)	7		2.2 %	
-1 (least hindrance)	11		3.4 %	
0 (no impact)	73		22.5 %	
+1 (least help)	103	232	31.8 %	71.6%
+2 (moderate help)	101		31.2 %	
+3 (most help)	28		8.6 %	
Total	324		100.0 %	
Mean	+1.11			
Median	+1.00			

Table 4.10(g) Perceived impact on “Enhance short-term school development and improvement”

Perceived impact on “Enhance short-term school development and improvement”	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	1	18	0.3 %	5.6%
-2 (moderate hindrance)	7		2.2 %	
-1 (least hindrance)	10		3.1 %	
0 (no impact)	68		21.0 %	
+1 (least help)	123	238	38.0 %	73.5%
+2 (moderate help)	103		31.8 %	
+3 (most help)	12		3.7 %	
Total	324		100.0 %	
Mean	+1.04			
Median	+1.00			

Table 4.10(h) Perceived impact on “Enhance long-term school development and improvement”

Perceived impact on “Enhance long-term school development and improvement”	Respondents in Questionnaires			
	Number		Percentage	
-3 (most hindrance)	1	19	0.3 %	5.9%
-2 (moderate hindrance)	12		3.7 %	
-1 (least hindrance)	6		1.9 %	
0 (no impact)	72		22.2 %	
+1 (least help)	123	233	38.0 %	71.9%
+2 (moderate help)	86		26.5 %	
+3 (most help)	24		7.4 %	
Total	324		100.0 %	
Mean	+1.03			
Median	+1.00			

Table 4.10(i): Chi-Square Test of respondents’ Choices to impacts on summative outcomes

Question	Chi-Square	df	Asymp. Sig.
Q45	179.505	6	.000
Q46	208.938	6	.000
Q47	249.217	6	.000
Q48	170.402	6	.000
Q49	269.833	6	.000
Q50	261.364	6	.000
Q51	338.321	6	.000
Q52	291.006	6	.000

- a. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.1.  
b. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 45.7.  
c. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.0.  
d. 0 cells (.0%) have expected frequencies less than 5. The minimum expected cell frequency is 46.3.

Table 4.10(j) Correlations between the impacts on summative outcomes (Kendall’s tau\_b coefficient)

		Q45	Q46	Q47	Q48	Q49	Q50	Q51	Q52
Q45	Correlation Coefficient	1	0.458**	0.581**	0.554**	0.530**	0.531**	0.490**	0.517**
	Sig. (2-tailed)	.	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Q46	Correlation Coefficient	0.458**	1.000	0.532**	0.372**	0.330**	0.352**	0.386**	0.350**
	Sig. (2-tailed)	0.000	.	0.000	0.000	0.000	0.000	0.000	0.000
Q47	Correlation Coefficient	0.581**	0.532**	1.000	0.519**	0.457**	0.482**	0.531**	0.545**
	Sig. (2-tailed)	0.000	0.000	.	0.000	0.000	0.000	0.000	0.000
Q48	Correlation Coefficient	0.554**	0.372**	0.519**	1.000	0.576**	0.482**	0.510**	0.537**
	Sig. (2-tailed)	0.000	0.000	0.000	.	0.000	0.000	0.000	0.000
Q49	Correlation Coefficient	0.530**	0.330**	0.457**	0.576**	1.000	0.547**	0.583**	0.582**
	Sig. (2-tailed)	0.000	0.000	0.000	0.000	.	0.000	0.000	0.000



		Q45	Q46	Q47	Q48	Q49	Q50	Q51	Q52
Q50	Correlation Coefficient	0.531**	0.352**	0.482**	0.482**	0.547**	1.000	0.649**	0.604**
	Sig. (2-tailed)	0.000	0.000	0.000	0.000	0.000	.	0.000	0.000
Q51	Correlation Coefficient	0.490**	0.386**	0.531**	0.510**	0.583**	0.649**	1.000	0.731**
	Sig. (2-tailed)	0.000	0.000	0.000	0.000	0.000	0.000	.	0.000
Q52	Correlation Coefficient	0.517**	0.350**	0.545**	0.537**	0.582**	0.604**	0.731**	1.000
	Sig. (2-tailed)	0.000	0.000	0.000	0.000	0.000	0.000	0.000	.

\*\*Correlation is significant at the 0.01 level (2-tailed).

Table 4.10(k): Grouping of the correlation coefficients between impacts on summative outcomes

Category	Question Pairs
Strongly correlated (absolute value of coefficient $\geq 0.8$ )	-----
Moderately correlated ( $0.5 \geq$ absolute value of coefficient $< 0.8$ )	Q45-Q47, Q45-Q48, Q45-Q49, Q45-Q50, Q45-Q52, Q46-Q47, Q47-Q48, Q47-Q51, Q47-Q52, Q48-Q49, Q48-Q51, Q48-Q52, Q49-Q50, Q49-Q51, Q49-Q52, Q50-Q51, Q50-Q52, Q51-Q52
Weakly correlated ( $0.3 \geq$ absolute value of coefficient $< 0.5$ )	Q45-Q46, Q45-Q51, Q46-Q48, Q46-Q49, Q46-Q50, Q46-Q51, Q46-Q52, Q47-Q49, Q47-Q50, Q48-Q50
Not correlated (absolute value of coefficient $< 0.3$ )	-----

Table 4.10(l): KMO (Kaiser-Meyer-Olkin) and Bartlett's Test of the impact on summative outcomes

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.	.911
Bartlett's Test of Sphericity	Approx. Chi-Square
	1658.534
	df
	28
	Sig.
	.000

Table 4.10(m): Total variance of the impact on summative outcomes listed in Q45 to Q52 explained

Component	Initial Eigenvalues			Extraction Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	5.103	63.782	63.782	5.103	63.782	63.782
2	.851	10.639	74.422	.851	10.639	74.422
3	.503	6.282	80.704			
4	.397	4.961	85.665			
5	.363	4.532	90.197			
6	.310	3.877	94.074			
7	.289	3.611	97.685			
8	.185	2.315	100.000			

Extraction Method: Principal Component Analysis.

Table 4.10(n): Rotated component matrix of the impact on summative outcomes listed in Q45 to Q52

	Component	
	1	2
Q45	.623	.559
Q46	.136	.921
Q47	.500	.706
Q48	.677	.424
Q49	.824	.222
Q50	.806	.238
Q51	.846	.258
Q52	.845	.261

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalization.

Rotation converged in 3 iterations.

Table 4.11(a) Differences in Responses between Male and Female Respondents

Question	Mean		<i>t</i>	Sig. (2-tailed)	Question	Mean		<i>t</i>	Sig. (2-tailed)
	Male	Female				Male	Female		
Q1	1.41	1.35	.507	.612	Q27	1.15	1.53	-2.802	.005*
Q2	1.34	1.43	-.734	.463	Q28	.97	1.42	-3.784	.000*
Q3	1.43	1.48	-.441	.659	Q29	.98	1.25	-2.265	.024*
Q4	1.54	1.53	.105	.916	Q30	.78	1.03	-1.817	.070
Q5	1.28	1.34	-.608	.544	Q31	1.19	1.49	-2.383	.018*
Q6	1.13	1.03	.871	.385	Q32	.29	.29	-.003	.997
Q7	1.48	1.43	.437	.663	Q33	.63	.81	-1.298	.195
Q8	1.70	1.58	1.217	.224	Q34	.48	.50	-.198	.843
Q9	1.42	1.37	.408	.684	Q35	.46	.53	-.447	.655
Q10	1.39	1.39	-.068	.946	Q36	.16	.28	-1.132	.258
Q11	1.59	1.54	.501	.617	Q37	1.03	1.44	-3.119	.002*
Q12	1.32	1.44	-1.106	.270	Q38	1.18	1.46	-2.344	.020*
Q13	.80	1.02	-2.411	.016*	Q39	1.39	1.64	-2.235	.026*
Q14	1.30	1.33	-.288	.774	Q40	1.17	1.41	-2.063	.040*
Q15	-.38	-.55	1.013	.312	Q41	1.26	1.62	-3.150	.002*
Q16	-.60	-.84	1.706	.089	Q42	1.02	1.28	-1.897	.059
Q17	.00	-.03	.154	.878	Q43	.88	1.23	-2.522	.012*
Q18	-.55	-.75	1.332	.184	Q44	.62	.88	-1.583	.114
Q19	.13	-.25	1.812	.071	Q45	.98	1.07	-.621	.535
Q20	-.86	-1.12	1.557	.121	Q46	.49	.43	.369	.712
Q21	-.70	-1.11	2.285	.023*	Q47	.79	.84	-.385	.700
Q22	-.51	-.80	1.877	.061	Q48	.98	.90	.519	.604
Q23	.32	.06	1.564	.119	Q49	1.01	1.21	-1.605	.109
Q24	-.26	-.26	.051	.959	Q50	1.04	1.19	-1.211	.227
Q25	1.06	1.56	-3.574	.000*	Q51	.98	1.12	-1.226	.221
Q26	1.07	1.50	-3.475	.001*	Q52	.95	1.12	-1.316	.189

\*  $\alpha < 0.05$  (at 95% confidence level)

Table 4.11(b) Effect size of the Differences in Responses between Male and Female Respondents

Question	Mean		<i>t</i>	Sig. (2-tailed)	Effect size
	Male	Female			
Q13	.80	1.02	-2.411	.016*	0.13
Q21	-.70	-1.11	2.285	.023*	0.13
Q25	1.06	1.56	-3.574	.000*	0.20
Q26	1.07	1.50	-3.475	.001*	0.19
Q27	1.15	1.53	-2.802	.005*	0.15
Q28	.97	1.42	-3.784	.000*	0.21
Q29	.98	1.25	-2.265	.024*	0.13
Q31	1.19	1.49	-2.383	.018*	0.13
Q37	1.03	1.44	-3.119	.002*	0.17
Q38	1.18	1.46	-2.344	.020*	0.13
Q39	1.39	1.64	-2.235	.026*	0.12
Q40	1.17	1.41	-2.063	.040*	0.11
Q41	1.26	1.62	-3.150	.002*	0.17
Q43	.88	1.23	-2.522	.012*	0.14

\*  $\alpha < 0.05$  (at 95% confidence level)

Table 4.12(a) Differences in responses between respondents with different teaching experience

Question	<i>F</i>	Sig.	Question	<i>F</i>	Sig.	Question	<i>F</i>	Sig.
Q1	2.023	.091	Q19	.836	.503	Q37	.475	.754
Q2	1.238	.295	Q20	1.846	.120	Q38	.415	.798
Q3	1.586	.178	Q21	1.868	.116	Q39	.600	.663
Q4	1.145	.335	Q22	1.291	.273	Q40	.780	.539
Q5	2.303	.058	Q23	.131	.971	Q41	.406	.804
Q6	1.702	.149	Q24	1.374	.243	Q42	1.294	.272
Q7	1.393	.236	Q25	.801	.525	Q43	.866	.484
Q8	2.814	.026*	Q26	.510	.729	Q44	1.323	.261
Q9	1.643	.163	Q27	.571	.684	Q45	1.408	.231
Q10	2.068	.085	Q28	.505	.732	Q46	.770	.545
Q11	4.183	.003*	Q29	.322	.863	Q47	1.002	.406
Q12	1.710	.148	Q30	1.108	.353	Q48	.885	.473
Q13	3.315	.011*	Q31	.543	.704	Q49	.637	.636
Q14	1.455	.216	Q32	1.072	.370	Q50	2.056	.086
Q15	.781	.538	Q33	.203	.937	Q51	.669	.614
Q16	.676	.609	Q34	.085	.987	Q52	1.177	.321
Q17	1.148	.334	Q35	.313	.869			
Q18	1.871	.115	Q36	.092	.985			

\*  $\alpha < 0.05$  (at 95% confidence level)

**Table 4.12(b)** Statistics of questions with significant difference between respondents with different teaching experience

Question	Teaching experience	N	Mean	Std deviation	Effect size
Q8	1-5 years	47	1.30	.832	0.185
	6-10 years	41	1.59	.921	
	11-15 years	67	1.75	.841	
	16-20 years	51	1.86	.849	
	> 20 years	116	1.65	.944	
	Total	322	1.64	.900	
Q11	1-5 years	47	1.17	.789	0.224
	6-10 years	40	1.58	.781	
	11-15 years	68	1.63	.809	
	16-20 years	51	1.84	.809	
	> 20 years	116	1.57	.887	
Q13	1-5 years	47	.77	.786	0.200
	6-10 years	41	.98	.821	
	11-15 years	68	.94	.826	
	16-20 years	51	1.24	.907	
	> 20 years	116	.77	.795	

**Table 4.13(a)** Differences between responses between respondents experiencing different number of appraisal cycles

Question	F	Sig.	Question	F	Sig.	Question	F	Sig.
Q1	1.624	.168	Q19	.611	.655	Q37	.979	.419
Q2	.323	.862	Q20	2.406	.049*	Q38	.916	.455
Q3	1.346	.253	Q21	1.769	.135	Q39	.786	.535
Q4	1.095	.359	Q22	2.294	.059	Q40	.565	.688
Q5	.351	.843	Q23	.128	.972	Q41	.269	.898
Q6	1.507	.200	Q24	1.028	.393	Q42	.374	.827
Q7	1.611	.171	Q25	.552	.698	Q43	.499	.736
Q8	1.690	.152	Q26	1.070	.371	Q44	.810	.519
Q9	.490	.743	Q27	.078	.989	Q45	.704	.589
Q10	1.361	.247	Q28	.370	.830	Q46	1.120	.347
Q11	.388	.817	Q29	.668	.614	Q47	.775	.542
Q12	.903	.462	Q30	.530	.714	Q48	1.508	.200
Q13	2.129	.077	Q31	1.078	.367	Q49	.937	.442
Q14	2.512	.042*	Q32	1.489	.205	Q50	.621	.648
Q15	.969	.425	Q33	.738	.566	Q51	1.183	.318
Q16	2.951	.020*	Q34	.394	.813	Q52	.347	.846
Q17	1.874	.115	Q35	1.768	.135			
Q18	.076	.989	Q36	1.447	.218			

\*  $\alpha < 0.05$  (at 95% confidence level)

**Table 4.13(b)** Statistics of questions with significant difference between respondents experiencing different number of appraisal cycles

Question	Number of appraisal cycles experienced	N	Mean	Std deviation	Effect size
Q14	0	20	1.65	.875	.175
	1 - 3	153	1.43	.937	
	4 - 6	77	1.19	.946	
	7 - 9	19	1.11	.809	
	> 9	54	1.11	.883	
	Total	323	1.32	.929	
Q16	0	20	.00	1.556	.190
	1 - 3	152	-.88	1.218	
	4 - 6	75	-.75	1.164	
	7 - 9	19	-.63	1.342	
	> 9	54	-.44	1.327	
	Total	320	-.71	1.270	
Q20	0	20	-.30	1.559	.172
	1 - 3	152	-1.07	1.461	
	4 - 6	77	-1.22	1.221	
	7 - 9	19	-.58	1.221	
	> 9	54	-.78	1.656	
	Total	322	-.98	1.464	

**Table 4.14(a)** Differences in responses between respondents with different academic qualifications

Question	F	Sig.	Question	F	Sig.	Question	F	Sig.
Q1	2.511	.059	Q19	1.812	.145	Q37	.553	.647
Q2	1.248	.292	Q20	1.784	.150	Q38	.204	.893
Q3	.545	.652	Q21	.853	.466	Q39	.857	.464
Q4	1.603	.189	Q22	.776	.508	Q40	.193	.901
Q5	1.591	.192	Q23	2.769	.042*	Q41	1.616	.186
Q6	.415	.742	Q24	1.629	.183	Q42	1.454	.227
Q7	.729	.535	Q25	.871	.456	Q43	1.003	.392
Q8	1.846	.139	Q26	1.182	.317	Q44	1.957	.120
Q9	2.042	.108	Q27	.925	.429	Q45	.835	.475
Q10	.332	.802	Q28	1.327	.266	Q46	1.882	.133
Q11	.581	.628	Q29	.385	.764	Q47	.563	.640
Q12	1.130	.337	Q30	1.112	.344	Q48	.823	.482
Q13	1.833	.141	Q31	1.060	.366	Q49	1.997	.114
Q14	1.093	.352	Q32	1.279	.281	Q50	.364	.779
Q15	1.717	.163	Q33	1.216	.304	Q51	.800	.495
Q16	.587	.624	Q34	1.934	.124	Q52	.721	.540
Q17	1.242	.295	Q35	1.304	.273			
Q18	1.337	.262	Q36	.813	.488			

\*  $\alpha < 0.05$  (at 95% confidence level)



Table 4.14(b) Statistics of questions with significant difference between respondents with different academic qualifications

Question	Academic Qualifications	N	Mean	Std deviation	Effect size
Q23	Non-degree holder	14	1.21	1.311	.159
	Bachelors degree	193	0.10	1.407	
	Masters degree	115	0.24	1.576	
	Doctorate degree	1	-1.00	--	
	Total	323	0.20	1.478	

Table 4.15(a) Differences in responses between respondents with teacher training and those without teaching training

Question	Mean		t	Sig. (2-tailed)	Question	Mean		t	Sig. (2-tailed)
	With	Without				With	Without		
Q1	1.38	1.35	-.490	.625	Q27	1.57	.86	1.041	.299
Q2	1.39	1.43	.963	.336	Q28	1.00	.86	.806	.421
Q3	1.46	1.48	.485	.628	Q29	1.29	.43	1.711	.088
Q4	1.53	1.53	-.126	.900	Q30	1.57	.71	.402	.688
Q5	1.31	1.34	.070	.945	Q31	1.29	.43	2.084	.038*
Q6	1.08	1.03	.228	.820	Q32	1.00	.00	.549	.584
Q7	1.45	1.43	-.344	.731	Q33	1.57	.57	.316	.752
Q8	1.65	1.58	.216	.829	Q34	1.57	-.14	1.383	.168
Q9	1.40	1.37	.725	.469	Q35	1.14	.71	-.426	.670
Q10	1.39	1.39	-.118	.906	Q36	1.43	.29	-.198	.843
Q11	1.56	1.54	-1.370	.172	Q37	2.00	.43	1.794	.074
Q12	1.38	1.44	1.082	.280	Q38	1.00	.43	2.164	.031*
Q13	.90	1.02	-1.226	.221	Q39	1.29	1.29	.578	.564
Q14	1.32	1.33	-.318	.750	Q40	1.43	1.57	-.730	.466
Q15	-.48	-.55	-1.581	.115	Q41	.43	1.43	.004	.996
Q16	-.69	-.84	1.516	.130	Q42	-1.43	.00	2.577	.010*
Q17	-.01	-.03	-.022	.983	Q43	.00	.43	1.321	.187
Q18	-.62	-.75	1.830	.068	Q44	-1.57	.57	.312	.755
Q19	-.03	-.25	1.386	.167	Q45	-1.00	.57	.880	.380
Q20	-.97	-1.12	1.600	.111	Q46	-1.86	.43	.070	.945
Q21	-.88	-1.11	1.597	.111	Q47	-1.86	.14	1.483	.139
Q22	-.63	-.80	1.774	.077	Q48	-1.57	-.14	2.144	.033*
Q23	.21	.06	.617	.538	Q49	-.14	.43	1.672	.096
Q24	-.26	-.26	.046	.963	Q50	-.29	.71	.955	.340
Q25	1.31	1.56	.920	.358	Q51	.86	.43	1.613	.108
Q26	1.29	1.50	1.338	.182	Q52	.71	.86	.416	.678

\*  $\alpha < 0.05$  (at 95% confidence level)

Table 4.15(b) Effect size of the Differences in Responses between Respondents with teacher training and those without teacher training

Question	Mean		<i>t</i>	Sig. (2-tailed)	Effect size
	With training	Without training			
Q31	1.29	.43	2.084	.038*	0.116
Q38	1.00	.43	2.164	.031*	0.120
Q42	-1.43	.00	2.577	.010*	0.142
Q48	-1.57	-.14	2.144	.033*	0.119

\*  $\alpha < 0.05$  (at 95% confidence level)

Table 4.16(a) Differences in responses between respondents with different major responsibilities

Question	<i>F</i>	Sig.	Question	<i>F</i>	Sig.	Question	<i>F</i>	Sig.
Q1	.274	.761	Q19	1.137	.322	Q37	.284	.753
Q2	.105	.900	Q20	2.360	.096	Q38	2.175	.115
Q3	.354	.702	Q21	1.014	.364	Q39	1.361	.258
Q4	.003	.997	Q22	.601	.549	Q40	1.627	.198
Q5	.770	.464	Q23	.551	.577	Q41	.326	.722
Q6	.704	.495	Q24	1.605	.202	Q42	.011	.989
Q7	.371	.690	Q25	2.864	.059	Q43	.739	.478
Q8	.022	.978	Q26	2.397	.093	Q44	.270	.764
Q9	.300	.741	Q27	.938	.393	Q45	1.095	.336
Q10	.303	.739	Q28	1.864	.157	Q46	1.695	.185
Q11	3.826	.023*	Q29	1.202	.302	Q47	6.266	.002*
Q12	1.735	.178	Q30	.846	.430	Q48	2.844	.060
Q13	.960	.384	Q31	1.725	.180	Q49	.927	.397
Q14	.476	.622	Q32	.100	.905	Q50	4.051	.018*
Q15	2.235	.109	Q33	.853	.427	Q51	2.070	.128
Q16	.387	.680	Q34	.744	.476	Q52	1.750	.175
Q17	1.889	.153	Q35	1.859	.157			
Q18	.920	.400	Q36	.057	.944			

\*  $\alpha < 0.05$  (at 95% confidence level)

Table 4.16(b) Statistics of questions with significant difference between respondents with different major responsibilities

Question	Major responsibility in School	N	Mean	Std deviation	Effect size
Q11	Class teacher	132	1.42	.865	0.153
	Middle manager	169	1.69	.839	
	Senior management	22	1.55	.671	
	Total	323	1.57	.848	
Q47	Class teacher	131	.53	1.230	0.194
	Middle manager	169	.98	1.190	
	Senior management	22	1.18	.853	
	Total	322	.81	1.207	

Question	Major responsibility in School	N	Mean	Std deviation	Effect size
Q50	Class teacher	132	.94	1.090	0.157
	Middle manager	170	1.19	1.130	
	Senior management	22	1.59	1.054	
	Total	324	1.11	1.119	

Table 4.17(a) Differences in responses between respondents with different roles in appraisal process

Question	F	Sig.	Question	F	Sig.	Question	F	Sig.
Q1	.549	.578	Q19	.166	.847	Q37	2.725	.067
Q2	.434	.648	Q20	3.223	.041*	Q38	4.420	.013*
Q3	1.159	.315	Q21	1.868	.156	Q39	3.238	.041*
Q4	.195	.823	Q22	1.395	.249	Q40	4.248	.015*
Q5	.360	.698	Q23	.114	.892	Q41	4.632	.010*
Q6	2.167	.116	Q24	1.761	.173	Q42	3.688	.026*
Q7	1.278	.280	Q25	6.839	.001*	Q43	3.028	.050
Q8	.402	.669	Q26	6.695	.001*	Q44	1.040	.355
Q9	1.302	.274	Q27	3.911	.021*	Q45	1.724	.180
Q10	2.129	.121	Q28	8.529	.000*	Q46	1.413	.245
Q11	3.874	.022*	Q29	4.387	.013*	Q47	3.052	.049*
Q12	2.922	.055	Q30	1.241	.291	Q48	3.290	.039*
Q13	1.043	.354	Q31	5.155	.006*	Q49	2.007	.136
Q14	.141	.868	Q32	1.394	.250	Q50	7.987	.000*
Q15	1.667	.190	Q33	.449	.639	Q51	5.177	.006*
Q16	1.668	.190	Q34	2.794	.063	Q52	3.435	.033*
Q17	.653	.521	Q35	.901	.407			
Q18	1.063	.347	Q36	1.041	.354			

\*  $\alpha < 0.05$  (at 95% confidence level)

Table 4.17(b) Statistics of questions with significant difference between respondents with different roles in appraisal process

Question	Role in Appraisal Process	N	Mean	Std deviation	Effect size
Q11	Appraisee only	131	1.41	.822	.154
	Appraiser only	9	1.89	.928	
	Dual roles of Appraiser and Appraisee	182	1.65	.845	
	Total	322	1.56	.845	
Q20	Appraisee only	131	-.76	1.358	.141
	Appraiser only	9	-.56	1.590	
	Dual roles of Appraiser and Appraisee	182	-1.16	1.513	
	Total	322	-.98	1.464	
Q25	Appraisee only	131	1.04	1.372	.202
	Appraiser only	9	.67	1.225	
	Dual roles of Appraiser and Appraisee	183	1.52	1.181	
	Total	323	1.30	1.286	



Question	Role in Appraisal Process	N	Mean	Std deviation	Effect size
Q26	Appraisee only	131	1.05	1.214	.200
	Appraiser only	9	.78	1.302	
	Dual roles of Appraiser and Appraisee	183	1.48	1.015	
	Total	323	1.28	1.128	
Q27	Appraisee only	131	1.15	1.313	.154
	Appraiser only	9	.89	1.054	
	Dual roles of Appraiser and Appraisee	183	1.50	1.157	
	Total	323	1.34	1.232	
Q28	Appraisee only	131	.93	1.104	.225
	Appraiser only	9	.67	.707	
	Dual roles of Appraiser and Appraisee	183	1.40	1.064	
	Total	323	1.19	1.098	
Q29	Appraisee only	131	.94	1.094	.163
	Appraiser only	9	.67	.866	
	Dual roles of Appraiser and Appraisee	183	1.26	1.041	
	Total	323	1.11	1.070	
Q31	Appraisee only	131	1.12	1.209	.177
	Appraiser only	9	.89	1.054	
	Dual roles of Appraiser and Appraisee	182	1.52	1.116	
	Total	322	1.34	1.168	
Q38	Appraisee only	131	1.17	1.031	.164
	Appraiser only	9	.67	1.000	
	Dual roles of Appraiser and Appraisee	182	1.46	1.135	
	Total	322	1.32	1.102	
Q39	Appraisee only	131	1.36	1.016	.141
	Appraiser only	9	1.22	1.394	
	Dual roles of Appraiser and Appraisee	183	1.64	1.011	
	Total	323	1.51	1.032	
Q40	Appraisee only	131	1.10	.976	.161
	Appraiser only	9	1.11	1.269	
	Dual roles of Appraiser and Appraisee	183	1.44	1.056	
	Total	323	1.29	1.041	
Q41	Appraisee only	131	1.24	.977	.168
	Appraiser only	9	1.11	1.453	
	Dual roles of Appraiser and Appraisee	182	1.59	1.057	
	Total	322	1.43	1.049	
Q42	Appraisee only	131	1.01	1.160	.150
	Appraiser only	9	.44	1.944	
	Dual roles of Appraiser and Appraisee	183	1.28	1.165	
	Total	323	1.15	1.199	
Q47	Appraisee only	130	.62	1.222	.137
	Appraiser only	9	1.11	.928	
	Dual roles of Appraiser and Appraisee	182	.94	1.195	
	Total	321	.81	1.208	

Question	Role in Appraisal Process	N	Mean	Std deviation	Effect size
Q48	Appraisee only	131	.72	1.223	.142
	Appraiser only	9	.89	1.833	
	Dual roles of Appraiser and Appraisee	182	1.12	1.419	
	Total	322	.95	1.365	
Q50	Appraisee only	131	.84	1.094	.218
	Appraiser only	9	.78	1.394	
	Dual roles of Appraiser and Appraisee	183	1.33	1.085	
	Total	323	1.11	1.121	
Q51	Appraisee only	131	.85	1.009	.177
	Appraiser only	9	.67	1.323	
	Dual roles of Appraiser and Appraisee	183	1.20	.993	
	Total	323	1.05	1.022	
Q52	Appraisee only	131	.85	1.131	.145
	Appraiser only	9	.78	1.394	
	Dual roles of Appraiser and Appraisee	183	1.17	1.075	
	Total	323	1.03	1.115	

Table 4.18(a): Differences in responses between respondents with different primary appraiser

Question	F	Sig.	Question	F	Sig.	Question	F	Sig.
Q1	.717	.611	Q19	.254	.938	Q37	.993	.422
Q2	.865	.505	Q20	.468	.800	Q38	2.074	.068
Q3	.275	.927	Q21	.482	.790	Q39	.856	.511
Q4	.668	.648	Q22	.863	.506	Q40	1.399	.224
Q5	.863	.506	Q23	1.258	.282	Q41	.569	.724
Q6	.437	.822	Q24	1.172	.323	Q42	1.427	.214
Q7	.603	.698	Q25	1.194	.312	Q43	.837	.524
Q8	1.884	.097	Q26	1.443	.209	Q44	.476	.794
Q9	.455	.810	Q27	1.390	.228	Q45	1.785	.115
Q10	.460	.806	Q28	2.122	.063	Q46	.745	.590
Q11	1.492	.192	Q29	1.442	.209	Q47	2.604	.025*
Q12	.530	.754	Q30	2.197	.054	Q48	3.338	.006*
Q13	1.273	.275	Q31	2.430	.035*	Q49	1.774	.118
Q14	.818	.537	Q32	1.380	.232	Q50	2.167	.058
Q15	.920	.468	Q33	.466	.802	Q51	3.044	.011*
Q16	.394	.853	Q34	1.000	.418	Q52	1.528	.181
Q17	.804	.548	Q35	.973	.434			
Q18	.709	.617	Q36	1.218	.300			

\*  $\alpha < 0.05$  (at 95% confidence level)

Table 4.18(b): Statistics of questions with significant difference between respondents with different primary appraiser

Question	Who's is the primary appraiser?	N	Mean	Std deviation	Effect size
Q31	Principal	91	1.43	1.034	.194
	Vice-principal	59	1.51	1.292	
	Subject Panel Chairperson	118	1.19	1.207	
	Committee heads	22	.77	1.110	
	Peers	18	1.67	1.138	
	Others	13	1.77	.927	
	Total	321	1.34	1.170	
Q47	Principal	92	.96	1.118	.200
	Vice-principal	58	1.10	1.280	
	Subject Panel Chairperson	117	.62	1.166	
	Committee heads	22	.45	1.057	
	Peers	18	.56	1.580	
	Others	13	1.31	1.182	
	Total	320	.82	1.209	
Q48	Principal	92	1.26	1.333	.050
	Vice-principal	58	1.05	1.561	
	Subject Panel Chairperson	118	.73	1.238	
	Committee heads	22	.27	1.453	
	Peers	18	.83	1.383	
	Others	13	1.54	.967	
	Total	321	.95	1.367	
Q51	Principal	92	1.17	1.023	.214
	Vice-principal	59	1.24	.971	
	Subject Panel Chairperson	118	.90	.973	
	Committee heads	22	.59	1.141	
	Peers	18	.89	1.023	
	Others	13	1.62	1.121	
	Total	322	1.05	1.024	

Table 4.19(a) Differences in responses between respondents with different secondary appraiser

Question	<i>F</i>	Sig.	Question	<i>F</i>	Sig.	Question	<i>F</i>	Sig.
Q1	2.216	.041*	Q19	1.116	.353	Q37	.784	.583
Q2	1.172	.321	Q20	.594	.735	Q38	.532	.784
Q3	1.155	.330	Q21	.584	.743	Q39	.909	.489
Q4	2.703	.014*	Q22	.753	.608	Q40	.312	.930
Q5	.982	.438	Q23	1.438	.200	Q41	.446	.848
Q6	1.262	.275	Q24	.637	.701	Q42	1.234	.289
Q7	1.513	.173	Q25	.805	.566	Q43	.632	.704
Q8	2.198	.043*	Q26	.804	.567	Q44	.992	.431
Q9	1.200	.306	Q27	.513	.798	Q45	1.101	.362
Q10	1.216	.298	Q28	.572	.753	Q46	1.269	.271
Q11	2.304	.034*	Q29	.494	.813	Q47	.867	.519
Q12	.592	.736	Q30	.992	.431	Q48	1.201	.305
Q13	.436	.855	Q31	.733	.623	Q49	.502	.806
Q14	1.211	.300	Q32	.835	.544	Q50	.157	.988
Q15	.461	.837	Q33	1.101	.362	Q51	.160	.987
Q16	.809	.563	Q34	.685	.662	Q52	.295	.939
Q17	1.360	.230	Q35	.497	.810			
Q18	1.142	.338	Q36	1.077	.376			

\*  $\alpha < 0.05$  (at 95% confidence level)

Table 4.19(b): Statistics of questions with significant difference between respondents with different secondary appraiser

Question	Who's the secondary appraiser?	N	Mean	Std deviation	Effect size
Q1	Principal	44	1.11	.993	.177
	Vice-principal	51	1.67	1.033	
	Subject Panel Chairperson	22	1.59	.908	
	Committee heads	52	1.42	.997	
	Peers	11	1.73	.905	
	Others	3	.33	.577	
	Nil	139	1.30	1.061	
	Total	322	1.38	1.032	
Q4	Principal	44	1.27	.758	.213
	Vice-principal	51	1.59	.898	
	Subject Panel Chairperson	22	1.82	.853	
	Committee heads	52	1.38	.771	
	Peers	11	2.18	.751	
	Others	3	1.00	.000	
	Nil	139	1.56	.894	
	Total	322	1.53	.861	
Q8	Principal	44	1.48	.952	.172
	Vice-principal	51	1.75	.821	
	Subject Panel Chairperson	22	1.64	.727	
	Committee heads	52	1.67	1.024	
	Peers	11	2.36	.505	
	Others	3	.67	.577	
	Nil	138	1.62	.891	
	Total	321	1.64	.901	
Q11	Principal	44	1.39	.841	.205
	Vice-principal	51	1.63	.720	
	Subject Panel Chairperson	22	1.82	.907	
	Committee heads	52	1.42	.750	
	Peers	11	2.27	.786	
	Others	3	1.67	.577	
	Nil	138	1.54	.897	
	Total	321	1.56	.846	

Table 4.20(a) Differences in responses between respondents with reciprocal relationship and those without reciprocal relationship to their appraisers

Question	Mean		<i>t</i>	Sig. (2-tailed)	Question	Mean		<i>t</i>	Sig. (2-tailed)
	With	Without				With	Without		
Q1	1.41	1.36	.437	.662	Q27	1.28	1.38	-.672	.502
Q2	1.33	1.41	-.665	.507	Q28	1.17	1.20	-.244	.808
Q3	1.57	1.39	1.658	.098	Q29	1.13	1.10	.229	.819
Q4	1.60	1.50	1.011	.313	Q30	.97	.86	.751	.453
Q5	1.31	1.30	.100	.921	Q31	1.35	1.33	.136	.892
Q6	1.15	1.04	1.050	.294	Q32	.36	.26	.663	.508
Q7	1.50	1.43	.606	.545	Q33	.79	.67	.844	.399
Q8	1.75	1.58	1.604	.110	Q34	.50	.49	.070	.944
Q9	1.50	1.34	1.580	.115	Q35	.43	.54	-.733	.464
Q10	1.43	1.36	.715	.475	Q36	.17	.25	-.708	.479
Q11	1.68	1.50	1.854	.065	Q37	1.38	1.14	1.688	.092
Q12	1.43	1.34	.872	.384	Q38	1.47	1.23	1.849	.065
Q13	.92	.90	.222	.824	Q39	1.63	1.45	1.618	.107
Q14	1.31	1.32	-.150	.881	Q40	1.40	1.23	1.415	.158
Q15	-.55	-.41	-.773	.440	Q41	1.57	1.36	1.745	.082
Q16	-.86	-.62	-1.640	.102	Q42	1.25	1.09	1.217	.225
Q17	-.17	.08	-1.356	.176	Q43	1.16	.99	1.154	.249
Q18	-.60	-.68	.477	.634	Q44	.74	.75	-.051	.959
Q19	-.09	-.03	-.265	.791	Q45	1.02	1.02	-.001	1.000
Q20	-1.02	-.96	-.334	.739	Q46	.50	.44	.429	.668
Q21	-.89	-.90	.043	.966	Q47	.79	.83	-.322	.748
Q22	-.70	-.62	-.484	.629	Q48	1.05	.89	1.044	.297
Q23	.17	.22	-.314	.753	Q49	1.20	1.05	1.154	.249
Q24	-.47	-.13	-1.974	.049*	Q50	1.18	1.07	.834	.405
Q25	1.22	1.35	-.868	.386	Q51	1.07	1.03	.380	.704
Q26	1.26	1.29	-.213	.832	Q52	1.08	1.00	.605	.545

\*  $\alpha < 0.05$  (at 95% confidence level)

Table 4.20(b) Effect size of the Differences in Responses between Respondents with reciprocal relationship and those without reciprocal relationship to their appraisers

Question	Mean		<i>t</i>	Sig. (2-tailed)	Effect size
	With reciprocal relationship	Without reciprocal relationship			
Q24	-.47	-.13	-1.974	.049*	.111

\*  $\alpha < 0.05$  (at 95% confidence level)

## Appendix B

### Pilot Study

#### Quantitative Questionnaire

## Quantitative Questionnaire

### Part A: Personal Particulars

1. Sex: ☐ Male ☐ Female
2. Teaching Experience:
- |                                      |                                     |                                      |
|--------------------------------------|-------------------------------------|--------------------------------------|
| <input type="checkbox"/> 1-5 years   | <input type="checkbox"/> 6-10 years | <input type="checkbox"/> 11-15 years |
| <input type="checkbox"/> 16-20 years | <input type="checkbox"/> > 20 years |                                      |
3. Number of appraisal cycles experienced at present school:
- |                            |                              |                              |                              |                             |
|----------------------------|------------------------------|------------------------------|------------------------------|-----------------------------|
| <input type="checkbox"/> 0 | <input type="checkbox"/> 1-3 | <input type="checkbox"/> 4-6 | <input type="checkbox"/> 7-9 | <input type="checkbox"/> >9 |
|----------------------------|------------------------------|------------------------------|------------------------------|-----------------------------|
4. Academic Qualifications:
- |  |   |
|--|---|
| <input type="checkbox"/> Non-degree holder | <input type="checkbox"/> Bachelors degree |
| <input type="checkbox"/> Masters degree    | <input type="checkbox"/> Doctorate degree |
5. Teacher training (e.g. teacher certificate, certificate/postgraduate diploma, B.Ed.):
- ☐ Yes ☐ No
6. Major responsibility in School:
- ☐ Class teacher
- ☐ Middle manager, e.g. subject panel chairperson; discipline, careers, guidance, general affairs master/mistress
- ☐ Senior management, e.g. principal, vice-principal
7. Role in Appraisal Process:
- ☐ Appraisee only ☐ Appraiser only
- ☐ Dual roles of Appraiser and Appraisee
8. Your Appraiser is: (If more than one, use 1 to indicate the primary appraiser, 2 to indicate the secondary appraiser etc.)
- |  |   |  |
|--|---|--|
| <input type="checkbox"/> Principal       | <input type="checkbox"/> Vice-principal | <input type="checkbox"/> Subject Panel Chairperson |
| <input type="checkbox"/> Committee heads | <input type="checkbox"/> Peers          | <input type="checkbox"/> Others: _____             |
9. Is there a "reciprocal relationship" between appraiser and appraisee, i.e. your appraiser would be your appraisee in certain circumstances?
- ☐ Yes ☐ No



### Part B: Problems in Implementing the Mandatory Teacher Appraisal Scheme

Please indicate your opinion on whether the suggested problems are really problems and how significant the problems are in implementing the teacher appraisal scheme in your school.

“0” represents “Not a problem”. “1” represents “Least significant problem” and “3” represents “Most significant problem”.

	Significance of Problems			
	Not a problem	Least significant	Moderate significant	Most significant
	0	1	2	3
1. Not having clearly established performance criteria or not having effective rating instrument	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Lack of trust and confidence between appraiser and appraisee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Appraiser lacks actual hands-on information on appraisee actual performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Lack of ongoing performance feedback	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Over-critical or hindsight reviews	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Perceived political reviews	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Lack of focus on development or improvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Ineffective link to reward systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Appraiser lacks rating skills or motivation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Review process lacks structure and substance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Insufficient training, e.g. conflict resolution skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

12. Insufficient time	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Insufficient financial resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Insufficient human resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Part C: Does Chinese culture help or hinder the Appraisal Process?**

Please rate your perceived contribution of the Chinese culture to the accuracy of the appraisal process. “-3” represents “Most Hindrance” and “+3” represents “Most Help”.

	Contribution of Chinese Culture						
	Most Hindrance	Moderate Hindrance	Least Hindrance	No Impact	Least Help	Moderate Help	Most Help
	-3	-2	-1	0	+1	+2	+3
15. High power distance, i.e. hierarchical relationship	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Low uncertainty avoidance, i.e. accepts ambiguity and uncertainty	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Collectivism, i.e. priority of collective goals over personal goals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. Masculinity, i.e. assertive, results-focused, and insensitive to emotions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. Maintenance of harmonious relations and conflict avoidance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20. Concept of face saving	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. Connection ( <i>Guanxi</i> ) and human feelings ( <i>Ren Qing</i> )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

22. Concept of reciprocation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. Concept of trust between friends (one of the five basic human relationships, <i>Wu Lun</i> )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24. Respect for age and seniority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### Part D: Perceived Impacts of Implementing the Appraisal Scheme

Please rate your perceived impacts of implementing the teacher appraisal scheme on the following aspects. “-3” represents “Most Negative Impact” and “+3” represents “Most Positive Impact”.

	Impact of Appraisal Scheme						
	Most Negative Impact	Moderate Negative Impact	Least Negative Impact	No Impact	Least Positive Impact	Moderate Positive Impact	Most Positive Impact
	-3	-2	-1	0	+1	+2	+3
<u>Impact on teaching behaviours</u>							
25. Quality of lesson preparation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26. Instructional skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27. Quality of classroom management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28. Quality of marking assignments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29. Ability to adopt fair and appropriate methods of student assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30. Collaboration among teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31. Overall teaching effectiveness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<u>Impact on Relationship</u>	
32. Appraiser-Appraisee relationship	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
33. Teacher-Student relationship	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
34. Peers relationship	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
35. Teacher-School relationship	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
36. Teacher-Community relationship	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
<u>Impact on teacher knowledge</u>	
37. Understanding of subject knowledge	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
38. Understanding of teaching-learning process	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
39. Understanding of personal strengths and weaknesses	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
40. Knowing direction for professional development	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
<u>Impact on teacher attitude</u>	
41. Reflection on teaching	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
42. Openness to criticism	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
43. Enthusiasm about teaching	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
44. Teacher morale	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
<u>Impact on summative outcomes of appraisal</u>	
45. Giving fair and accurate assessment of teacher performance	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
46. Eliminating of incompetent teachers	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
47. Making sound managerial decisions	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

48. Fairness of staff promotion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
49. Improving student learning outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
50. Improve school accountability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
51. Enhance short-term school development and improvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
52. Enhance long-term school development and improvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Part E: Other Opinions**

Please write your opinions on any aspects on the teacher appraisal scheme.

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**Part F: Invitation for Semi-structured Interview**

You are cordially invited to attend a semi-structured interview about teacher appraisal scheme, which would last for about 30-45 minutes. Please leave your contact means if you are willing. Thanks!

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----- End of Questionnaire -----  
----- Thank You for Your Help -----

## Appendix C

### Pilot Study Qualitative Questionnaire

## Questionnaire for Semi-Structural Interview

### Part A: Personal Particulars

1. Sex: ☐ Male ☐ Female
2. Teaching Experience:
- |                                      |                                     |                                      |
|--------------------------------------|-------------------------------------|--------------------------------------|
| <input type="checkbox"/> 1-5 years   | <input type="checkbox"/> 6-10 years | <input type="checkbox"/> 11-15 years |
| <input type="checkbox"/> 16-20 years | <input type="checkbox"/> > 20 years |                                      |
3. Number of appraisal cycles experienced at present school:
- |                            |                              |                              |                              |                             |
|----------------------------|------------------------------|------------------------------|------------------------------|-----------------------------|
| <input type="checkbox"/> 0 | <input type="checkbox"/> 1-3 | <input type="checkbox"/> 4-6 | <input type="checkbox"/> 7-9 | <input type="checkbox"/> >9 |
|----------------------------|------------------------------|------------------------------|------------------------------|-----------------------------|
4. Academic Qualifications:
- |  |   |
|--|---|
| <input type="checkbox"/> Non-degree holder | <input type="checkbox"/> Bachelors degree |
| <input type="checkbox"/> Masters degree    | <input type="checkbox"/> Doctorate degree |
5. Teacher training (e.g. teacher certificate, certificate/postgraduate diploma, B.Ed.):
- ☐ Yes ☐ No
6. Major responsibility in School:
- ☐ Class teacher
- ☐ Middle manager, e.g. subject panel chairperson; discipline, careers, guidance, general affairs master/mistress
- ☐ Senior management, e.g. principal, vice-principal
7. Role in Appraisal Process:
- ☐ Appraisee only ☐ Appraiser only
- ☐ Dual roles of Appraiser and Appraisee
8. Your Appraiser is: (If more than one, use 1 to indicate the primary appraiser, 2 to indicate the secondary appraiser etc.)
- |  |   |  |
|--|---|--|
| <input type="checkbox"/> Principal       | <input type="checkbox"/> Vice-principal | <input type="checkbox"/> Subject Panel Chairperson |
| <input type="checkbox"/> Committee heads | <input type="checkbox"/> Peers          | <input type="checkbox"/> Others: _____             |
9. Is there a "reciprocal relationship" between appraiser and appraisee, i.e. your appraiser would be your appraisee in certain circumstances?
- ☐ Yes ☐ No

## Part B: Problems in Implementing the Mandatory Teacher Appraisal Scheme

Q1. What are the major problems you perceived in implementing the mandatory teacher appraisal scheme in your school?

Q2. How do the problems named in Q1 perceived problematic?

Q3. What are the relative weighting of the problems suggested? What are the reasons?

## Part C: Does Chinese culture help or hinder the Appraisal Process?

Q4. How do the following cultural dimensions influence appraisal:

- (1) high power distance, i.e. hierarchical relationship;
- (2) low uncertainty avoidance, i.e. high tolerance of ambiguity and uncertainty;
- (3) collectivism, i.e. priority of collectivist goals over personal goals.
- (4) masculinity, i.e. assertive, results-focused, and insensitive to emotions

Q5. How does the emphasis of (1) harmonious relations and conflict avoidance; (2) concept of face saving; (3) connection (Guanxi) and human feelings (Ren Qing); (4) reciprocation; (5) trust between friends; and (6) respect for age and seniority, affect the appraisal?

## Part D: Perceived Impacts of the Appraisal Scheme

### *Impact on teaching behaviours*

Q6. How does the implementation of the appraisal system influence your teaching work (e.g. lesson preparation, instructional skills, classroom management, quality of marking assignments, student assessment, collaboration among teachers, and overall teaching effectiveness)?

### *Impact on Relationships*

Q7. How does the implementation of the appraisal system affect the appraiser-appraisee relationship, teacher-student relationship, peers relationship, teacher-school relationship and teacher-community relationship?



### *Impact on teacher Knowledge*

- Q8. How does the implementation of the appraisal system influence your understanding of the subject knowledge, the teaching-learning process, personal strengths and weaknesses, and direction for professional development?

### *Impact on Teacher Attitude*

- Q9. What are the effects of implementing the appraisal system on your attitudes towards teaching (e.g. reflection, openness to criticisms, enthusiasm, and morale)?

### *Impact on Summative outcomes of appraisal*

- Q10. Has teacher appraisal given a fair and accurate assessment of teacher performance?  
How does teacher appraisal scheme achieve this?
- Q11. Could teacher appraisal help eliminate incompetent teachers from schools? What is the mechanism?
- Q12. How does the implementation of the appraisal system affect the managerial decisions in school (e.g. staff promotion and assignment of duties)?
- Q13. What effects does the implementation of the appraisal system have on student learning outcomes?
- Q14. Is teacher appraisal essential component for school accountability? Does it provide an effective means for school accountability?
- Q15. Does teacher appraisal enhance short-term school development and improvement?  
How does it make it?
- Q16. Does teacher appraisal enhance long-term school development and improvement?  
Why?

### Part E: Other Opinions

- Q17. Do you have any other opinions on any other aspects of the teacher appraisal scheme?

----- End of Interview Questionnaire -----

## Appendix D

### Formal Study

### Quantitative Questionnaire

## Quantitative Questionnaire

### Part A: Personal Particulars

1. Sex: ☐ Male ☐ Female
2. Teaching Experience:  
☐ 1-5 years ☐ 6-10 years ☐ 11-15 years  
☐ 16-20 years ☐ > 20 years
3. Number of appraisal cycles experienced at present school:  
☐ 0 ☐ 1-3 ☐ 4-6 ☐ 7-9 ☐ >9
4. Academic Qualifications:  
☐ Non-degree holder ☐ Bachelors degree  
☐ Masters degree ☐ Doctorate degree
5. Teacher training (e.g. teacher certificate, certificate/postgraduate diploma, B.Ed.):  
☐ Yes ☐ No
6. Major responsibility in School:  
☐ Class teacher  
☐ Middle manager, e.g. subject panel chairperson; discipline, careers, guidance, general affairs master/mistress  
☐ Senior management, e.g. principal, vice-principal
7. Role in Appraisal Process:  
☐ Appraisee only ☐ Appraiser only  
☐ Dual roles of Appraiser and Appraisee
8. Your Appraiser is: (If more than one, use 1 to indicate the primary appraiser, 2 to indicate the secondary appraiser etc.)  
☐ Principal ☐ Vice-principal ☐ Subject Panel Chairperson  
☐ Committee heads ☐ Peers ☐ Others: \_\_\_\_\_
9. Is there a "reciprocal relationship" between appraiser and appraisee, i.e. your appraiser would be your appraisee in certain circumstances?  
☐ Yes ☐ No

**Part B: Problems in Implementing the Mandatory Teacher Appraisal Scheme**

Please indicate your opinion on whether the suggested problems are really problems and how significant the problems are in implementing the teacher appraisal scheme in your school.

“0” represents “Not a problem”. “1” represents “Least significant problem” and “3” represents “Most significant problem”.

	Significance of Problems			
	Not a problem 0	Least significant 1	Moderate significant 2	Most significant 3
1. Not having clearly established performance criteria or not having effective rating instrument	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Lack of trust and confidence between appraiser and appraisee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Appraiser lacks actual hands-on information on appraisee actual performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Lack of ongoing performance feedback	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Over-critical or hindsight reviews	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Perceived political reviews	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Lack of focus on development or improvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Ineffective link to reward systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Appraiser lacks rating skills or motivation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Review process lacks structure and substance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Insufficient training, e.g. conflict resolution skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Significance of Problems			
	Not a problem	Least significant	Moderate significant	Most significant
	0	1	2	3
12. Insufficient time	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Insufficient financial resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Insufficient human resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Part C: Does Chinese culture help or hinder the Appraisal Process?

Please rate your perceived contribution of the Chinese culture to the accuracy of the appraisal process. “-3” represents “Most Hindrance” and “+3” represents “Most Help”.

	Contribution of Chinese Culture						
	Most Hindrance	Moderate Hindrance	Least Hindrance	No Impact	Least Help	Moderate Help	Most Help
	-3	-2	-1	0	+1	+2	+3
15. High power distance, i.e. hierarchical relationship 〔階級分明、尊卑有序〕	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Low uncertainty avoidance, i.e. accepts ambiguity and uncertainty 〔接受含糊及模稜兩可態度〕	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Collectivism, i.e. priority of collective goals over personal goals 〔將群體利益放在個人利益之上〕	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Contribution of Chinese Culture						
	Most Hindrance	Moderate Hindrance	Least Hindrance	No Impact	Least Help	Moderate Help	Most Help
	-3	-2	-1	0	+1	+2	+3
18. Masculinity, i.e. assertive, results-focused, and insensitive to emotions 〔較獨斷、注重成果及對情緒不敏感〕	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. Maintenance of harmonious relations and conflict avoidance 維持「和諧關係」及「避免衝突」	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20. Concept of face saving 〔「要面子」〕	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. Connection ( <i>Guanxi</i> ) and human feelings ( <i>Ren Qing</i> ) 〔「講究關係」及「講究人情」〕	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22. Concept of reciprocation 〔「禮尚往來」〕	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. Concept of trust between friends (one of the five basic human relationships, <i>Wu Lun</i> ) 〔「朋友應互相信任」〕	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24. Respect for age and seniority 〔「尊重長者及前輩」〕	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Part D: Perceived Impacts of Implementing the Appraisal Scheme**

Please rate your perceived impacts of implementing the teacher appraisal scheme on the following aspects. “-3” represents “Most Negative Impact” and “+3” represents “Most Positive Impact”.

	Impact of Appraisal Scheme						
	Most Negative Impact	Moderate Negative Impact	Least Negative Impact	No Impact	Least Positive Impact	Moderate Positive Impact	Most Positive Impact
	-3	-2	-1	0	+1	+2	+3
<u>Impact on teaching behaviours</u>							
25. Quality of lesson preparation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26. Instructional skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27. Quality of classroom management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28. Quality of marking assignments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29. Ability to adopt fair and appropriate methods of student assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30. Collaboration among teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31. Overall teaching effectiveness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<u>Impact on Relationship</u>							
32. Appraiser-Appraisee relationship	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
33. Teacher-Student relationship	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34. Peers (relationship among teachers in same school without appraiser-appraisee relationship) relationship	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35. Teacher-School relationship	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Impact of Appraisal Scheme						
	Most Negative Impact	Moderate Negative Impact	Least Negative Impact	No Impact	Least Positive Impact	Moderate Positive Impact	Most Positive Impact
	-3	-2	-1	0	+1	+2	+3
36. Teacher-Community (society) relationship	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<u>Impact on teacher knowledge</u>							
37. Understanding of subject knowledge	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38. Understanding of teaching-learning process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
39. Understanding of personal strengths and weaknesses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
40. Knowing direction for professional development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<u>Impact on teacher attitude</u>							
41. Reflection on teaching	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
42. Openness to criticism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
43. Enthusiasm about teaching	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
44. Teacher morale	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<u>Impact on summative outcomes of appraisal</u>							
45. Giving fair and accurate assessment of teacher performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
46. Eliminating of incompetent teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
47. Making sound managerial decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	Impact of Appraisal Scheme						
	Most Negative Impact	Moderate Negative Impact	Least Negative Impact	No Impact	Least Positive Impact	Moderate Positive Impact	Most Positive Impact
	-3	-2	-1	0	+1	+2	+3
48. Fairness of staff promotion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
49. Improving student learning outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
50. Improve school accountability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
51. Enhance short-term school development and improvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
52. Enhance long-term school development and improvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Part E: Other Opinions**

Please write your opinions on any aspects on the teacher appraisal scheme.

Part F: Invitation for Semi-structured Interview

You are cordially invited to attend a semi-structured interview about teacher appraisal scheme, which would last for about 30-45 minutes. Please leave your contact means if you are willing. Thanks!

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----- End of Questionnaire -----

----- Thank You for Your Help -----

## Appendix E

Formal Study

Qualitative Questionnaire

## Questionnaire for Semi-Structural Interview

### Part A: Personal Particulars

1. Sex: ☐ Male ☐ Female
2. Teaching Experience:  
☐ 1-5 years ☐ 6-10 years ☐ 11-15 years  
☐ 16-20 years ☐ > 20 years
3. Number of appraisal cycles experienced at present school:  
☐ 0 ☐ 1-3 ☐ 4-6 ☐ 7-9 ☐ >9
4. Academic Qualifications:  
☐ Non-degree holder ☐ Bachelors degree  
☐ Masters degree ☐ Doctorate degree
5. Teacher training (e.g. teacher certificate, certificate/postgraduate diploma, B.Ed.):  
☐ Yes ☐ No
6. Major responsibility in School:  
☐ Class teacher  
☐ Middle manager, e.g. subject panel chairperson; discipline, careers, guidance, general affairs master/mistress  
☐ Senior management, e.g. principal, vice-principal
7. Role in Appraisal Process:  
☐ Appraisee only ☐ Appraiser only  
☐ Dual roles of Appraiser and Appraisee
8. Your Appraiser is: (If more than one, use 1 to indicate the primary appraiser, 2 to indicate the secondary appraiser etc.)  
☐ Principal ☐ Vice-principal ☐ Subject Panel Chairperson  
☐ Committee heads ☐ Peers ☐ Others: \_\_\_\_\_
9. Is there a "reciprocal relationship" between appraiser and appraisee, i.e. your appraiser would be your appraisee in certain circumstances?  
☐ Yes ☐ No

### Part B: Problems in Implementing the Mandatory Teacher Appraisal Scheme

- Q1. What are the major problems you perceived in implementing the mandatory teacher appraisal scheme in your school?
- Q2. How do the problems named in Q1 perceived problematic?
- Q3. What are the relative weighting of the problems suggested? What are the reasons?
- Q4. Would personal particulars such as sex, teaching experience, number of appraisal cycles experienced, and role in appraisal process affect your responses to the problems perceived? If yes, how would such personal particulars (e.g. sex, teaching experience, number of appraisal cycles experienced, and role in appraisal process) affect your views?

### Part C: Does Chinese culture help or hinder the Appraisal Process?

- Q5. How do the following cultural dimensions influence appraisal:
- (1) high power distance, i.e. hierarchical relationship;
  - (2) low uncertainty avoidance, i.e. high tolerance of ambiguity and uncertainty;
  - (3) collectivism, i.e. priority of collectivist goals over personal goals.
  - (4) masculinity, i.e. assertive, results-focused, and insensitive to emotions
- Q6. How does the emphasis of harmonious relations and conflict avoidance; (2) concept of face saving; (3) connection (Guanxi) and human feelings (Ren Qing); (4) reciprocity; (5) trust between friends; and (6) respect for age and seniority, affect the appraisal?
- Q7. Would personal particulars such as sex, number of appraisal cycles experienced and the major responsibilities in schools affect your responses to the effects of Chinese culture perceived? If yes, how would such personal particulars (e.g. sex, number of appraisal cycles experienced, and major responsibilities in schools) affect your views?

### Part D: Perceived Impacts of the Appraisal Scheme

#### *Impact on teaching behaviours*

- Q8. How does the implementation of the appraisal system influence your teaching work (e.g. lesson preparation, instructional skills, classroom management, quality of marking assignments, student assessment, collaboration among teachers, and overall teaching effectiveness)?

### *Impact on Relationships*

Q9. How does the implementation of the appraisal system affect the appraiser-appraisee relationship, teacher-student relationship, peers relationship, teacher-school relationship and teacher-community relationship?

### *Impact on teacher Knowledge*

Q10. How does the implementation of the appraisal system influence your understanding of the subject knowledge, the teaching-learning process, personal strengths and weaknesses, and direction for professional development?

### *Impact on Teacher Attitude*

Q11. What are the effects of implementing the appraisal system on your attitudes towards teaching (e.g. reflection, openness to criticisms, enthusiasm, and morale)?

### *Impact on Summative outcomes of appraisal*

Q12. Has teacher appraisal given a fair and accurate assessment of teacher performance?  
How does teacher appraisal scheme achieve this?

Q13. Could teacher appraisal help eliminate incompetent teachers from schools? What is the mechanism?

Q14. How does the implementation of the appraisal system affect the managerial decisions in school (e.g. staff promotion and assignment of duties)?

Q15. What effects does the implementation of the appraisal system have on student learning outcomes?

Q16. Is teacher appraisal essential component for school accountability? Does it provide an effective means for school accountability?

Q17. Does teacher appraisal enhance short-term school development and improvement?  
How does it make it?

Q18. Does teacher appraisal enhance long-term school development and improvement?  
Why?

Q19: Would personal particulars such as sex, teacher training, role in appraisal process and who's the primary appraiser affect your responses to the impacts perceived? If yes, how would such personal particulars (e.g. sex, teacher training, role in appraisal process and who's the primary appraiser) affect your views?

Part E: Other Opinions

Q20. Do you have any other opinions on any other aspects of the teacher appraisal scheme?

----- End of Interview Questionnaire -----

## Appendix F

### Consent Form



## CONSENT FORM

### **TITLE OF PROJECT:**

The Hong Kong Appraisal System: Problems and Issues in its Implementation and Perceived Impacts in Government-funded Secondary Schools

(The participant should complete the whole of this sheet himself/herself)

*Please cross out as necessary*

Have you read the Participant Information Sheet? YES / NO

Have you had an opportunity to ask questions and to discuss the study? YES / NO

Have you received satisfactory answers to all of your questions? YES / NO

Have you received enough information about the study? YES / NO

Who have you spoken to? Dr/Mr/Mrs/Ms/Prof. ....

Do you consent to participate in the study? YES/NO

Do you understand that you are free to withdraw from the study:

\* at any time and

\* without having to give a reason for withdrawing and

\* without affecting your position in the University / School? YES / NO

**Signed** .....

**Date** .....

(NAME IN BLOCKLETTERS) .....

## Appendix G

### Participant Information Sheet

## Participant Information Sheets

### Declaration

- (1) All participants participate in this project on voluntary basis. They are free to withdraw from the project at any time.
- (2) Information collected in the project would be kept anonymous and strictly confidential. No personal identifiable data would be disclosed.

### Title of Project:

The Hong Kong Appraisal System: Problems and Issues in its Implementation and Perceived Impacts in Government-funded Secondary Schools

### Research Supervisor:

Dr. Sue Beverton

[s.l.beverton@durham.ac.uk](mailto:s.l.beverton@durham.ac.uk), School of Education, University of Durham, Leazes Road, Durham, DH1, 1TA, UK. Tel: 0191 3348317

### Principal investigator:

CHAN Wai Fat (陳偉發)

[w.f.chan@durham.ac.uk](mailto:w.f.chan@durham.ac.uk), School of Education, University of Durham, U.K.  
xx, Block xx, xxxxxx Garden, Tai Wai, N.T. HONG KONG. Tel:(852)xxxxxxx

### Aims and Objectives of the Project

There are three main purposes in this research:

- (1) The research aims to explore the problems in implementing the mandatory teacher appraisal scheme in government and aided secondary schools.
- (2) The research aims to explore the perceived effect of Chinese culture on the practice of the teacher appraisal scheme.
- (3) The research aims to find out the perceived impacts of the teacher appraisal scheme.

Specifically, there are ten research questions:

- (1) What are the possible problems experienced in implementing the teacher appraisal scheme in government-funded secondary schools?
- (2) How do the possible problems prevent the effective implementation of teacher appraisal scheme?
- (3) What is the degree of significance of these possible problems in the effective implementation of teacher appraisal scheme?

- (4) What are the impacts of the four cultural dimensions, namely, high power distance, low uncertainty avoidance, collectivism, masculinity, on the practice of teacher appraisal scheme?
- (5) What are the impacts of some Chinese culture values, namely, concepts of maintaining harmonious relations, face saving, connection, trust and respect for age and seniority, on the processes of appraisal?
- (6) What are the perceived impacts of implementing a teacher appraisal scheme on teaching behaviours of teachers?
- (7) What are the perceived impacts of implementing a teacher appraisal scheme on the appraiser-appraisee relationship, teacher-student relationship, peers relationship, teacher-school relationship and teacher-community relationship?
- (8) What are the perceived impacts of implementing the teacher appraisal scheme on teacher knowledge?
- (9) What are the perceived impacts of implementing the teacher appraisal scheme on teacher's attitudes towards teaching?
- (10) What is the perceived importance of the appraisal scheme in producing the summative outcomes of appraisal?

How do participants involve in this project?

- (1) Read this information sheet. Contact the principal investigator if you have enquires.
- (2) Fill in the consent form.
- (3) Answer the questions in the questionnaires.
- (4) Put the information sheet, consent form and questionnaire in the enveloped provided and seal it.
- (5) Return the sealed envelope by hand or by post.

----- End Of Information Sheet -----

## Appendix H

### Letter to Principals

Address of researcher

1<sup>st</sup> March, 2006.

The Principal  
ABC Secondary School  
Street Number, District Name,  
Hong Kong.

Dear Principal,

Questionnaire on Teacher Appraisal

I am a part-time Ed.D. student in the School of Education, University of Durham. Currently, I am undertaking a research for my dissertation on "The Hong Kong Appraisal System: Problems and Issues in its Implementation and Perceived Impacts in Government-funded Secondary Schools". The research attempts to find out the problems and issues of implementing a mandatory appraisal system in government-funded secondary schools in Hong Kong and explore the effects of Chinese culture on the appraisal processes. Hopefully, this research should provide a better understanding of the problems and issues in implementing the mandatory teacher appraisal scheme.

I hope to seek your approval to conduct the above research among your teachers. In order to speed up the data collection process, the questionnaires of the research have been sent to you with this letter. Should there be any reasons that permission is not granted for conducting the research, please return the questionnaires to me using envelope enclosed so that the questionnaires would not be wasted. I should be grateful if you could help me to distribute the enclosed questionnaires to all your teachers. Further information on the research could be found in the Participant Information Sheets. All the raw data and information collected will be kept strictly confidential. The identity of the participants will not be identified in any circumstances. Your co-operation will be of great assistance to interested personnel who want to understand the problems and issues in implementing the mandatory teacher appraisal scheme and will facilitate the improvement of the scheme in the future.

For further information and inquires, please contact me at (phone number). Thank you for your help.

Yours faithfully,

(CHAN Wai Fat)

## Appendix I

### Letter to Participants

Address of researcher

1st March, 2006.

Teacher  
ABC Secondary School  
Street Name, District Name,  
Hong Kong.

Dear Colleague,

Questionnaire on Teacher Appraisal

I am a part-time Ed.D. student in the School of Education, University of Durham. Currently, I am undertaking a research for my dissertation on “The Hong Kong Appraisal System: Problems and Issues in its Implementation and Perceived Impacts in Government-funded Secondary Schools”. The research attempts to find out the problems and issues of implementing a mandatory appraisal system in government-funded secondary schools in Hong Kong and explore the effects of Chinese culture on the appraisal processes. Hopefully, this research should provide a better understanding of the problems and issues in implementing the mandatory teacher appraisal scheme.

I hope to seek your help to complete the consent form and the enclosed quantitative questionnaire. Further information on the research could be found in the Participant Information Sheets. All the raw data and information collected will be kept strictly confidential. The identity of the participants will not be identified in any circumstances. Your co-operation will be of great assistance to interested personnel who want to understand the problems and issues in implementing the mandatory teacher appraisal scheme and will facilitate the improvement of the scheme in the future.

For further information and inquiries, please contact me at (phone number).  
Thank you for your help.

Yours faithfully,

(CHAN Wai Fat)

